



DEPARTMENT FOR THE ECONOMY

TRAINING FOR SUCCESS

2017

OPERATIONAL REQUIREMENTS

FOR CONTRACTORS

Version 2.00

July 2017



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1. Document Control

1.1. Document Owner

1.1.1. The owner of this document is the Head of Training Programmes Branch

1.2. Document Location

1.2.1. This document is only valid on the day it was printed and the electronic version is located in Training Programmes Branch.

1.3. Document Status

1.3.1. The current status for this document is **Version 2.0.0**

1.4. Revision History

1.4.1. Date of next revision: January 2018

1.5. Version Number

Version number	Revision date	Previous revision date	Summary of changes will issue in separate attachment.
2.00	July 2017	December 2016	

1.6. Approvals

1.6.1. Approval e-mails for this document are filed as follows:

1.6.1.1. Head of Training Programmes Branch: TRIM Container (DfE).

Name	Responsibility	Date of Approval	Version
Paul Bryans	Head of Training Programmes Branch	July 2017	2

1.7. Distribution

1.7.1. This document has been distributed as follows:

Recipient	Date of issue	Version
<i>Training for Success 2017 Contractors</i>		
Central Procurement Directorate		
Commercial Services Branch		
Careers Service Branch		
Essential Skills Branch		
Communications Branch		
Quality Improvement Team		

1.8. Document Review Process

- 1.8.1. The Department has the right to amend or vary the Operational Requirements as required and the Contractor shall perform the contract in accordance with any such variation or amendment when instructed to do so by the Department. This document provides detail to contractors about the process that the Department will follow when making such amendments.
- 1.8.2. In adopting this process the Department is conscious of the need to balance flexibility in the delivery of complex service programmes with the need to allow contractors sufficient time to assess and introduce any change to the Requirements.
- 1.8.3. The Department intends to follow a regular process of considering and making changes to the Operational Requirements. The Department anticipates that, save for exceptional and/or urgent issues; it will make changes to the Operational Requirements no more frequently than every 13 weeks if required. An indicative timetable for this process will be published at the start of the contract. The Department will, at its sole discretion, determine when an issue is exceptional and/or urgent.
- 1.8.4. When making changes to the Operational Requirements, the Department will, on each occasion, provide contractors with:
 - 1.8.4.1. A summary of the changes made;
 - 1.8.4.2. An explanation of why each change has been made;
 - 1.8.4.3. A web link to a revised copy of the Operational Requirements document with a new Version number; and
 - 1.8.4.4. A date from which the new Version is deemed to be in effect. This date shall, save for exceptional and/or urgent issues, be no less than 10 working days from the date of the notification.

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2. TRAINING FOR SUCCESS 2017 – OPERATIONAL REQUIREMENTS FOR CONTRACTORS

- 2.1. The *Training for Success 2017* Operational Requirements have been prepared for Contractors who have been contracted by the Department for the Economy (“the Department”) to provide training under the *Training for Success 2017* programme.
- 2.2. *Training for Success 2017* is designed to enable participants to gain qualifications in each of the programme curricular areas and progress to higher level training by providing training to:
 - 2.2.1. address personal and social development needs;
 - 2.2.2. develop occupational knowledge and employability skills; and
 - 2.2.3. develop the Essential Skills of literacy, numeracy and information and communications technology (ICT), where appropriate.
- 2.3. The programme will be delivered through the following strands
 - 2.3.1. Skills for Your Life;
 - 2.3.2. Skills for Work Level 1;
 - 2.3.3. Skills for Work Level 2; and
 - 2.3.4. Skills for Work Level 3.
- 2.4. Each strand will comprise a common curriculum of, personal and social development, employability skills, professional and technical skills and Essential Skills.
- 2.5. The Department will provide a single point of contact for all queries and requests in relation to the operation and compliance of these Requirements. All communication in relation to any aspect of this document and compliance with the requirements within, must be addressed to trainingforsuccess@economy-ni.gov.uk; queries in The Department will aim to provide a response to queries received within 48 hours.
- 2.6. If you have an urgent query which requires a faster response, please telephone Training Programmes Branch, Training for Success section, via the NI DIRECT help desk Tel: 0300 200 7876.

3. INTRODUCTION

3.1. Training for Success 2017

- 3.1.1. The Department for the Economy (DfE) is committed to the development of a highly skilled and innovative workforce that will contribute to the twin goals of social inclusion and economic success for Northern Ireland (NI). The quality and effectiveness of training for young people and adults are crucial elements of that process.
- 3.1.2. *Training for Success 2017* is designed to support the objectives of the Programme for Government first published on 26th May 2016 by providing training to improve the skills profile of the population, enabling participants to develop relevant occupational and employability skills while addressing any Essential Skills barriers and addressing personal and social development needs. Training for Success 2017 aims to contribute to a rise in the population holding qualifications at levels one and two and facilitate the progression to levels three and four through the achievement of targeted qualifications and provision of advice and guidance on progression pathways.
- 3.1.3. Regulated qualifications are integral to the *Training for Success 2017* programme as they are more flexible and are based on revised national occupational standards which reflect the skills that are required to operate effectively in today's workplace. All participants on *Training for Success 2017* will be required to undertake regulated qualifications. The Register of Regulated Qualifications (RRQ), (<http://register.ofqual.gov.uk/>) contains lists of all current regulated qualifications. From May 2016, the Council for the Curriculum, Examinations and Assessment (CCEA Regulation) has become the regulator for all qualifications in Northern Ireland. If you require any information regarding regulated qualifications please contact CCEA Regulation at ccearegulation@ccea.org.uk.

3.2. Aims of Training for Success 2017

3.2.1. Training for Success 2017 aims to:

- 3.2.1.1. prepare participants for apprenticeships, higher level training or continued Further Education;
- 3.2.1.2. provide participants with access to regulated qualifications; and
- 3.2.1.3. address individual barriers to learning where appropriate and relevant.

3.3. Key Elements of Training for Success 2017

3.3.1. The Key Elements of *Training for Success 2017* which contractors must deliver are:

- 3.3.1.1. four strands – Skills for Your Life, Skills for Work Level 1, Skills for Work Level 2, and Skills for Work Level 3;
- 3.3.1.2. individual learning programmes to address barriers to learning and employment;
- 3.3.1.3. a common curriculum of personal and social development, employability, professional and technical skills, and Essential Skills, leading to regulated qualifications;
- 3.3.1.4. a personal Training Credit that is discussed and agreed between each participant and the Careers Service detailing the choice of occupational area and Level of training;
- 3.3.1.5. a Personal Training Plan (PTP) that is discussed and agreed between each participant and the Contractor based on the personal Training Credit detailing the targeted outcomes, progression routes, and associated milestones.
- 3.3.1.6. work placement with a host employer; and
- 3.3.1.7. non-means tested weekly Educational Maintenance Allowance (EMA) payable to the participant.

4. DEFINITIONS

For the purpose of interpreting this document, the terms set out in this section shall have the meanings ascribed to them below:

In Care	Young people who qualify under the Children (Leaving Care) Act (NI) (2002)
CMS	The Department's central Client Management System (CMS) database. It is used for Claims Processing, Approval Requests and recording Training History. It is linked to Trainee Management System - a software package to assist Contractors in the administration arrangements for <i>Training for Success 2017</i> .
Claim Period	Thirteen four-weekly periods across the financial year in which Training Contractors must submit claims to the Department's Commercial Services Branch (<i>Payment Processing</i>). Details are contained in Annex 6 of the Pricing Schedule. csb.payments@economy-ni.gov.uk Contractors are notified annually of revisions.
Directed Training	Training and assessment, conducted on the Contractor's premises, as distinct from practical experience gained on work placement.
Dismissal	The penalty incurred on accrual of two incidents which would lead to suspension on the grounds of Gross Misconduct or where a participant accumulates a further 10 days absence following a suspension on the grounds of absenteeism
Additional Learning Support	Support for participants who require

	additional input of resources such as time, equipment etc but who do not fall into the Disability category.
DSS	Disability Support Services: contracted by the Department to deliver Disability Support to participants with a disability on <i>Training for Success 2017</i> .
Hazardous Activity	Any pursuit or activity where it is recognised that there is an increased risk of injury or accident, or can be reasonably expected to aggravate any existing infirmity.
Learning Record Service	Internet-based register of learners; www.learningrecordsservice.org.uk
Length of Stay (LOS)	The total amount of participant training time in weeks guaranteed to a participant, (104 or 156 weeks).
Level 1 Qualification	A full Level 1 qualification is defined as 5 GCSEs grades D-G, an NVQ Level 1, or equivalent qualification.
Level 2 Qualification	A full Level 2 qualification is defined as 5 GCSEs grades A*-C,/9-4, an NVQ Level 2, or equivalent qualification.
ORF	Output Related Funding – funding payable to Contractors based on the delivery of specified outputs.
Paid Leave for Participants	Period of Leave from <i>Training for Success 2017</i> without deduction from EMA.
Prolonged Absence	Absence of more than 15 consecutive working days including sickness.
PTP	Personal Training Plan
RRQ	Register of Regulated Qualifications
TMS	Trainee Management System - a software package to assist Contractors in the administration arrangements for

	<i>Training for Success 2017</i> . It is linked to the Department's central Client Management System (CMS) database and caters for an automated client registration process, with Contractors being linked electronically to CMS.
Training Credit	Passport document issued by the Department's Careers Service to eligible participants setting out the Training Strand, Occupational Area and Training Level to be followed by the participant. Entry to or rejoin to the programme is by Training Credit only.
Unique Learner Number	A 10-digit reference number used alongside the Personal Learning Record (PLR).
Young Person with a Disability	A person under the age of 22 who has a disability as defined by the Disability Discrimination Act 1995.

5. PROGRAMME CONTENT

5.1. Programme Structure

5.1.1. The *Training for Success 2017* programme consists of the following four strands:

- 5.1.1.1. Skills for Your Life;
- 5.1.1.2. Skills for Work Level 1;
- 5.1.1.3. Skills for Work Level 2; and
- 5.1.1.4. Skills for Work Level 3.

5.1.2. These strands are described in more detail in section 5.7.

5.1.3. Contractors must deliver all strands.

5.1.4. The *Training for Success 2017* programme will consist of a common curriculum across all strands. Contractors must deliver, to each participant, targeted qualifications in each of the four areas outlined below and at a Level aligned to their previous attainment;

- 5.1.4.1. Personal and social development;
- 5.1.4.2. Employability Skills;
- 5.1.4.3. Professional and Technical skills; and
- 5.1.4.4. Essential Skills in Communication, Application of Number, and ICT (if applicable);

5.1.5. These curriculum areas and associated qualification types are described in more detail in section 9.

5.1.6. All participants must receive a maximum training entitlement of up to 104 weeks on the *Training for Success 2017* programme, **or**, in the case of those with a disability who have an identified need for additional time, up to a maximum training entitlement of up to 156 weeks. Subject to these maximum periods, Contractors must progress participants through the strands at a pace appropriate to individual needs and in line with conditions set out on the participant's Training Credit (Training Strand, Occupational Area and Training

Level) to be followed by the participant. Individual participant progress will be monitored by Departmental officials and the Education and Training Inspectorate (the Inspectorate).

5.2. Eligibility and Entry to Training for Success 2017.

5.2.1. The Department will provide a guarantee of a training place to all school-leavers in the 16 and 17 year old age group who have attained minimum school leaving age as of 30 June 2017; young people with a disability as defined at 5.2.3.2; or young people from an In-Care background as defined at 5.2.3.3 will have extended age eligibility as set out below. The maximum training entitlement is set out in 5.1.6.

5.2.2. Contractors must apply the eligibility criteria set out in these Operational Requirements to all potential participants.

5.2.3. Eligibility for *Training for Success 2017* is determined as follows;

5.2.3.1. A young person who has attained the minimum school leaving age and be under 18 years of age. A young person who reaches age 18 on or after 2nd July and before the first Monday in September, will be treated as an eligible young person and be able to enter *Training for Success 2017*, provided that they start training week commencing on the first Monday of September 2017. Any pupil whose 16th birthday falls between 2nd July and the 1st July the following year (inclusive) may leave school on 30th June at the end of that academic year and is therefore only eligible to enter Training for Success 2017 from the first Monday of the following September (see example below);

*e.g. a young person reaches age 16 any time between **02/07/16** and **01/07/17** – earliest start date in Training for Success2017 – **04/09/17***

OR

- 5.2.3.2. A person having a disability and being under 22 years of age (except where 5.3 below applies). The Disability Discrimination Act defines disability “as a physical or mental impairment which has a substantial and long term adverse affect on a person’s ability to carry out normal day to day duties”.

OR

- 5.2.3.3. A person in the category of “young people who qualify under the Children (Leaving Care) Act (NI) (2002)”, and being under 24 years of age (except where 5.3 below applies).
- 5.2.4. Where an eligible young person has left school/college or employment in the period 1st April 2017 to 31st May 2017 and seeks to enter training during that period, details of their circumstances must be forwarded to Training Programmes Branch via trainingforsuccess@economy-ni.gov.uk for decision on eligibility.
- 5.2.5. After 1 September 2017, a 17 year old who leaves school/FE College before 1st June 2018 can be admitted to *Training for Success 2017* provision at any time after leaving school.

5.3. Ineligible Persons

- 5.3.1. Notwithstanding any compliance with the criteria set out in Section above, a person shall not be eligible to enter *Training for Success 2017* if they are:
- 5.3.1.1. in full-time education;
 - 5.3.1.2. a student on placement from a full-time further or higher education course;
 - 5.3.1.3. a non-EU national who is subject to employment restrictions and/or a time limit on the person’s stay in NI at the time of application to enter training;
 - 5.3.1.4. a person who has previously completed **all or part** of their training entitlement in another DfE (*or previously DEL*) funded programme, including

Training for Success 2008 or 2013, Programme-Led Apprenticeships, Training for Success 2013 or any Pilot Youth Training/ Apprenticeship course funded by the Department for the Economy;

- 5.3.1.5. currently subject to a period of suspension from training due to disciplinary action by a previous Contractor.

5.4. Eligibility in Doubt

- 5.4.1. If, at any time, the Department considers there is a reason to doubt the eligibility of a person to participate in *Training for Success 2017*, the Department will notify the Contractor. The Department will suspend all funding in respect of the young person concerned, pending an investigation. In these cases the Contractor must terminate that individual from participation on the same working day that it receives notification from the Department and not allow them to rejoin until further notice.
- 5.4.2. **Potential participants will not be permitted to enter Training for Success 2017 until the eligibility conditions are satisfied. Any ineligible participation time may be subtracted from future training entitlement. If, following an investigation, it is established a participant is not eligible for the programme, then full recovery of all funds is applicable from the date from which the participant has been ineligible.**

5.5. Entry to the Programme

- 5.5.1. All entry to Training for Success 2017 including rejoining will be on presentation of a valid Training Credit by the potential participant to the Training Contractor. All Training Credits will be issued by Departmental Careers Advisers following a pre-entry guidance interview, see section 5.6.
- 5.5.2. Contractors may only enrol a potential participant who is in possession of a valid Training Credit and they must only enrol them in accordance with the contents of that Training Credit.

- 5.5.3. Contractors must refer a potential participant wishing to join *Training for Success 2017* without a valid Training Credit to his/her local Careers Adviser to obtain a Training Credit. Departmental Careers Advisers are based in the nearest Careers Resource Centre/Jobs and Benefits Office or JobCentres. Please refer to www.nidirect.gov.uk/careers for further information.

5.6. Pre-Entry Guidance

- 5.6.1. Careers Advisers will conduct a pre-entry guidance interview for each young person to determine the Level of their existing skills and competences, assess any prior achievements in terms of GCSEs or predicted GCSE grades/other qualifications or any recorded qualifications on the potential participant's Learner Record Profile. The purpose of this pre-entry guidance interview is to identify each participant's strengths and weaknesses in relation to personal development, employability, professional and technical training as well as to decide/agree which Level and strand of the programme is most appropriate to meet their needs and arrive at an agreed career recommendation. Pre-entry guidance will also examine the participant's motivations in order to ensure that they have chosen the appropriate occupational area (where relevant).
- 5.6.2. The initial pre-entry guidance interview may also be informed by input from parents, schools, social services, medical or educational professionals or any other agencies as appropriate (e.g. information obtained as result of Transition Meeting).
- 5.6.3. Careers Advisers will include the following elements in arriving at their recommendation:
- 5.6.3.1. pre-entry interviews to determine the interests, motivations, and aptitude of the potential participant, current level of learning;
 - 5.6.3.2. assessment and analysis of any prior learning and recording of prior achievements based on ULN;
 - 5.6.3.3. the provision of careers information, advice and guidance;

- 5.6.3.4. analysis of reports from others (including Progress File/Record of Achievement);
- 5.6.3.5. identification of existing personal, social and occupational competencies; and
- 5.6.3.6. identification of any barriers to learning or employment including learning disabilities or other support needs.
- 5.6.4. Contractors must conduct an initial assessment of each participant's Essential Skills. This must include identification of those participants who already have a Level 2 qualification in English and/or Mathematics and ICT. Participants who hold a relevant Level 2 qualification in English, Mathematics or ICT will be considered to have met the Essential Skills requirements (ULN).
- 5.6.5. Following pre-entry guidance interview with a Careers Adviser, the appropriate training strand will be identified and set out on the potential participant's Training Credit. If the Occupational Area and Level of training remains the same as that discussed with the Careers Adviser whilst the potential participant was in statutory education, Careers Service will issue a Training Credit based on that discussion.

5.7. Programme Strands

5.7.1. Skills for Your Life

- 5.7.1.1. This strand is designed to address the personal and development needs of young people who have disengaged from learning and/or have no formal qualifications or who have significant barriers to education, training or employment including Essential Skills needs. It is designed to address the need for more focused provision for young people for whom Skills for Work may not be suitable.
- 5.7.1.2. Contractors must ensure that the training provides high levels of pastoral care, support, encouragement and concern for the holistic welfare and

development of the participant. It is important that training is carried out in the context of careers information, advice and guidance.

5.7.1.3. Contractors must encourage participants to develop and take ownership of a progression pathway designed to suit their individual motivations and to address their needs. The programme of training must include a combination of directed training and work experience/job sampling to develop their employability skills.

5.7.1.4. Contractors must ensure that participants are given the opportunity to achieve appropriate regulated qualifications; the majority of which may be at entry level. The targeted qualifications selected must ensure that participants are equipped with the skills and competences to progress to further training and/or employment.

5.7.1.5. Contractors must complement the targeted qualifications with a programme which also contains:

- mentoring and effective pastoral care;
- on-going careers information, advice, and guidance;
- work placement and / or job sampling;
- social and cultural awareness; and
- recreation and creativity.

5.7.2. Skills for Work Level 1

5.7.2.1. This strand is designed to help young people gain skills and qualifications at Level 1, to be able to gain employment, to progress to Skills for Work Level 2 or *ApprenticeshipsNI*. It is aimed at those young people who;

5.7.2.2. have achieved at least one formal qualification but their achievements do not amount to a full Level 1 qualification; or

5.7.2.3. have a full Level 1 qualification but do not meet the entry requirements in English and Mathematics (or equivalent) for Skills for Work Level 2. In this

case Skills for Work Level 1 (SfW1) will be the most appropriate strand. Contractors must ensure that such young people enrolled on this strand are working towards achievement of their Essential Skills qualifications as a priority. As soon as they have achieved their Essential Skills qualification, they must be moved into the Level 2 provision in order to maximize their achievements on the programme.

5.7.2.4. Contractors must offer participants two pathways on this strand, as follows:

work sampling: for those participants who are unclear about a preferred occupational area. They must undertake a period of work sampling followed by professional and technical training in their chosen occupational area; or

professional and technical training: for those who have already chosen an occupational area or who do so after a period of job sampling.

5.7.3. Skills for Work Level 2

5.7.3.1. This strand is designed to ensure that those participants who have been assessed as capable of achieving at Level 2, but who have not yet secured employment, are prepared for future progression to an apprenticeship.

5.7.3.2. Under this strand, Contractors must ensure that participants undertake the knowledge based requirements of the Level 2 ApprenticeshipsNI Framework in the chosen occupational area specified on the participant's Training Credit. Where knowledge based component (previously known as Technical Certificate) has been withdrawn from the framework and incorporated within the overall regulated qualification, participants must undertake the full Professional and Technical Qualifications specified on the Level 2 framework. In addition, if a participant has not already achieved Level 1 or equivalent in all three Essential Skills areas they must work towards achieving the Level 1 in each.

5.7.3.3. Participants must be issued with a Training Credit for this strand if they satisfy the following conditions:

- they have achieved a full Level 1 qualification and have the appropriate grades in GCSE English and Mathematics or Essential Skills in Communication and Application of Number as set out in paragraph below; or
- if they have previously been enrolled in Skills for Work Level 1, have achieved all their targeted qualifications under that strand and have achieved the appropriate grades in English and Mathematics or Essential Skills in Communication and Application of Number as set out in paragraph below.

5.7.3.4. The appropriate grades in GCSE English and Mathematics or Essential Skills in Communication and Application of Number as required in above are:

5.7.3.5. Essential Skills at Level 2 or GCSE grades A*-D or 9-3 where the *ApprenticeshipsNI* framework being targeted requires a Level 2 Essential Skills qualification;

Or

5.7.3.6. Essential Skills at Level 1 or GCSE grades A*-F or 9 - 2/1 where the *ApprenticeshipsNI* framework being targeted requires a Level 1 Essential Skills qualification.

5.7.4. Skills for Work Level 3

5.7.4.1. Contractors may only progress a participant to the Level 3 strand provided the participant has achieved all targeted qualifications at Skills for Work Level 2, has been unable to secure employment, *and has not yet reached the maximum number of weeks in training entitlement as set out in para 5.1.6.*

5.7.4.2. Under this strand, Contractors must ensure that participants undertake the knowledge based requirements of the Level 3 apprenticeship framework in their chosen occupational area. In addition, if a participant has not already

achieved Level 2 or equivalent in all three Essential Skills areas they must work towards achieving the Level 2 in each.

5.8. Rejoiners

- 5.8.1. Where a young person has left *Training for Success 2017* programme without completing their full entitlement of training weeks, they may rejoin the programme for their remaining balance of weeks up to the maximum set out at section 5.1.6, provided they still satisfy the programme eligibility criteria set out in section 5.2 and have been issued with a valid Training Credit from DfE Careers Service. The Re-join Training Credit will indicate the remaining balance of weeks.
- 5.8.2. Contractors must fully consider the participant's progress/achievements to date and ensure that these are documented on the Re-join PTP and that qualification targets are set accordingly.

6. COMMENCEMENT ON PROGRAMME

6.1. Registration on Programme

- 6.1.1. Following a participant's presentation at a Contractor with a valid Training Credit, the Contractor, must register the participant on TMS as having started training on *Training for Success 2017*. Contractors must register the participant's information on the day that the individual commences training participation.
- 6.1.2. Participants must be initially registered on the strand of the programme in line with the information set out on the participant's Training Credit. This will include;
 - 6.1.2.1. Client ID Number
 - 6.1.2.2. Participant ID Number
 - 6.1.2.3. Participant's Name
 - 6.1.2.4. Start Code
 - 6.1.2.5. The training entitlement set out in weeks
 - 6.1.2.6. The Level and strand of training recommended;
 - 6.1.2.7. The Occupational Area and SOC Code in which the participant wishes to train or, for those undecided at pre-entry guidance stage, the Occupational Area will be endorsed as "*Sampling*"
 - 6.1.2.8. Any relevant Disability Code
 - 6.1.2.9. Indication of In-Care Background

6.2. Induction

- 6.2.1. Contractors must ensure that, on commencing *Training for Success 2017*, each participant undergoes formal induction to brief them thoroughly about all elements of their participation. In delivering induction, Contractors must cover all topics outlined in 6.2.3. Contractors must reinforce this information throughout the programme to ensure participants remain familiar with the content.
- 6.2.2. Signed copies of the induction checklist contained within the model PTP at Annex 1 must be retained for inspection by Departmental officials.

6.2.3. **Information about Training for Success:**

- 6.2.3.1. Contractors must provide all participants with a copy of the *Training for Success 2017* Participant Handbook and Data Sharing Privacy Note (see Annex 11 and Annex 14).
- 6.2.3.2. Contractors must provide all participants with information on the terms and conditions of the programme, including hours of attendance, holiday entitlement, holiday closure periods for the year ahead, absence due to sickness, whistle blowing policy, disciplinary procedures, travel conditions and allowances and financial incentives for the participant.
- 6.2.3.3. Contractors must provide all participants with information on the relevant curriculum content of their intended programme of study, progression routes and possible career opportunities including details of the Department's Careers Service and contact details for their local Careers Adviser.
- 6.2.3.4. Contractors must provide all participants with information on participant responsibilities under *Training for Success 2017* including information on best practice regarding safe working practices in their chosen occupational area.
- 6.2.3.5. Contractors must provide all participants with information on the process involved in creating a Personal Training Plan (PTP), the purpose of the PTP and its role throughout the participant's time on *Training for Success 2017*.
- 6.2.3.6. Contractors must provide all participants with information on Progress Files/record of achievement, its purpose and content. (See section 8.9).
- 6.2.3.7. Contractors must provide all participants with information on the process involved in the initial assessment of their Essential Skills.

6.2.4. **Information about the Contractor**

- 6.2.4.1. Contractors must provide all participants with a general introduction to the Contractor's premises, including emergency exits, fire drill, assembly points and domestic facilities;
- 6.2.4.2. information on the Contractor's complaints and formal appeals procedure and on how the participant can escalate a complaint to the Department;
- 6.2.4.3. information on the support services available to the participant from the Contractor;
- 6.2.4.4. the name and contact details of a nominated key contact within the Contractor's organisation.

6.3. **Personal Training Plan (PTP)**

- 6.3.1. The Department considers the PTP to be a fundamental component of the *Training for Success 2017* programme. It views the efficacy of the PTP process as a key indicator of the quality of a Contractor's provision.
- 6.3.2. The PTP serves two functions:
 - 6.3.2.1. the hard copy version is a working document which must reflect each participant's starting point and record their progress throughout the programme. Programme related activities other than directed learning and work placements used to show completion/adherence to required hours of attendance should be clearly documented with dates, times and duration of tasks and held in the participant's file for inspection with all other associated documents.
 - 6.3.2.2. the electronic version is used to trigger start payments in respect of each participant. Instructions on the completion of the electronic version of the PTP for drawing down funding are included in Section 14.

- 6.3.3. Contractors must complete and submit the electronic PTP within 12 weeks from the participant's start date on programme. Participants must not start a work placement until after their PTP and Delivery Agreement has been completed. If work placement commencement and associated Delivery Agreement have not been agreed within the appropriate timescale, they will be recorded as a non compliance and will be reflected in compliance reporting.
- 6.3.4. Contractors must ensure that participants who leave the programme before the completion of their PTP, and who subsequently seek re-entry to the programme, are referred to the Careers Service for the issue of a Training Credit prior to rejoining the programme.

6.4. Completion of Hard Copy PTP

- 6.4.1. A template for the hard copy PTP is provided at Annex 1 and Contractors must ensure that each participant's PTP is fully complete and in line with the criteria set out on the Training Credit and the hard copy PTP.
- 6.4.2. The PTP must include targeted qualifications in line with the Levels and Occupational Areas set out on the participant's Training Credit as well as the assessed level of Essentials Skills conducted by the Contractor. Where such qualifications include employability or personal development units as part of a combined qualification, these units must be specified separately on the PTP.
- 6.4.3. Where a participant is undertaking targeted qualifications which include competence based learning, Contractors must specify on the PTP, how they will assess this competence and provide information on how this approach will facilitate the completion of the relevant qualification.
- 6.4.4. Contractors must keep PTPs available for inspection by Departmental officials and by the Inspectorate at all times. Failure to develop appropriate, individualised PTPs and to ensure that all relevant sections are complete will result in recovery of PTP payment fee by the Department.

- 6.4.5. Contractors must ensure that on completion or amendment, each participant receives an up to date copy of their PTP.

6.5. Reviewing the PTP

- 6.5.1. Contractor must monitor and review participants' progress against the targets and objectives contained on their Training Credit and set out in their PTPs and make revisions where necessary. This must be carried out in conjunction with the participant. Any change to a strand or occupational area other than that outlined on the initial Training Credit under *Training for Success 2017* will require referral to the Careers Service for a Revised Training Credit. Contractors must supply written evidence to Careers Service to support any change of Level/Occupational Area.
- 6.5.2. Contractors must conduct reviews of individual participant progress against the targets outlined in their PTP every **6** weeks for Skills for Your Life participants and every **8** weeks for Skills for Work participants using the Participant Review and Monitoring Form contained at Annex 1. If these processes are not adhered to within the stipulated timescales, they will be recorded as non compliance and reflected in compliance reporting.

6.6. Change / Movement within Training for Success 2017 Strands

- 6.6.1. Where it is discovered that the qualifications being pursued in a particular strand are not suitable for the participant, or if the original strand itself is unsuitable, a ***Revised Training Credit*** must be obtained from the Careers Service. The Contractor must provide written evidence to the Careers Service to support any referral for a change to a different Strand, Level or Occupational Area from that outlined on the current Training Credit. ***In such cases the participant must not be terminated in TMS.***

6.7. Recording Attendance on the PTP

- 6.7.1. Contractors must indicate the attendance pattern to be followed on the participant's hard copy PTP.
- 6.7.2. Where a Contractor who is taking advantage of the flexible attendance requirements for Skills for Your Life at Section 14.2 has been unable to find a work placement for a participant, and as a result, the participant is unable to attend for 30 hours per week, the participant's PTP must include this information and the actions being undertaken to ensure that the participant can meet the attendance requirements as soon as possible. The PTP must also specify a date, which must not be later than week 26 of their time on the programme, by which the participant will attend the required minimum 30 hours per week. If the participant cannot subscribe to the full attendance requirement by week 26 he/she must be removed from the programme (unless there are exceptional circumstances and prior approval has been granted by the Department. If approval has not been granted, and the participant remains on programme, then a full recovery of all funds will be made from the first day of week 27.
- 6.7.3. Where a Contractor is taking advantage of the flexible attendance requirements for Skills for Work 1 under Section 14.3 and a participant is unable to attend for the minimum 30 hours per week, the participant's PTP must clearly state the reasons for this, and the actions being undertaken to ensure that the participant can meet the attendance requirements as soon as possible. The PTP must also specify a date, by which the participant will attend the required minimum 30 hours per week. This must not be later than week 26 of their time on the programme. If the participant cannot subscribe to the full attendance requirement by week 26 he/she must be removed from the programme (unless there are exceptional circumstances and prior approval has been granted by the Department. If approval has not been granted, and the participant remains on programme, then a full recovery of all funds will be made from the first day of week 27.

6.8. Transfer of PTP to New Contractor

- 6.8.1. If a participant transfers from one Contractor to another Contractor, the participant's PTP and progress achieved must be made available along with all records of attendance, including paid leave already taken. This must be completed within five working days of the request from the new Contractor. Contractors must ensure that all participants are made aware of this procedure. Any transfer to a new Contractor will require a Rejoin Training Credit with the weeks remaining included.

7. CONDITIONS FOR PARTICIPANTS

7.1. Educational Maintenance Allowance

- 7.1.1. All *Training for Success 2017* participants are entitled to a weekly Educational Maintenance Allowance (EMA) of £40 per person subject to satisfying the attendance conditions set out in these Operational Requirements. Contractors must pay EMA to each participant on a weekly basis. The Contractor must continue to pay EMA until the participant completes their period of training under *Training for Success 2017*.
- 7.1.2. Contractors must commence payment no later than the end of the second week of training. It must be paid to the participant and must be clearly identifiable as a payment of EMA at £40 per week.
- 7.1.3. Contractors must make appropriate deductions from a participant's EMA in respect of unauthorised absence (see Section 14.6).
- 7.1.4. Contractors must ensure that participants receive a bonus payment on completion of each payment stage as detailed in the funding table included in the Pricing Schedule. This must be paid within five days of entitlement arising. Contractors must ensure that they pay participant allowances to participants as the entitlement to receive the allowance arises. If a participant transfers between Contractors, the bonus is payable when the next stage is reached.

7.2. Equipment

- 7.2.1. All equipment necessary for training must be accessible to individual participants free of charge.

7.3. Leave Entitlement

- 7.3.1. All Training for Success 2017 participants will be entitled to a maximum of 25 days paid leave during a year of training from the date of commencement of training. In addition a participant is entitled to a minimum of 12 days paid bank and public holidays.
- 7.3.2. Contractors must inform participants in writing at the Induction stage of the Contractor's holiday closure arrangements for the academic year/year ahead in order that participants can manage their leave entitlement. Leave arrangements must be agreed in advance, in accordance with the needs of the training provision and the normal practice of the Contractor.
- 7.3.3. Contractors must require a participant who wishes to take leave which does not coincide with a Contractor's own holiday closure arrangements to seek approval before leave is taken. Contractors may grant such permission at their discretion however any such leave must be unpaid if it exceeds the allocated leave entitlement set out in section 7.3.1.
- 7.3.4. Where such leave periods are unpaid and it is known from the outset that the period of absence will exceed five working days, Contractors must inform the Department in writing of the absence in advance. Payment of the weekly training fee, EMA and all other costs associated with that participant will cease from the last day of training.

7.4. Travel Allowance

- 7.4.1. Participants are not entitled to reimbursement for weekly travel costs of less than £3.

- 7.4.2. Where a participant incurs weekly travel costs greater than £3, Contractors must reimburse that participant with an amount equal to the amount of cost incurred minus £3.
- 7.4.3. For weekly travel costs over £50, including participant and Departmental contributions, Contractors must obtain approval from the Department using form TFS13 *before* the cost is incurred. In circumstances where private transport is not available, the use of taxis must be limited to/from the participant's home to the nearest public transport point. Where a participant has a disability which makes public transport unsuitable or where public or private transport is unavailable, the participant may be able to claim the cost of travel by taxi from home to training place. Weekly travel costs of £50 or less is automatically approved on TMS/CMS, however, travel costs over £50, as detailed above requires approval. The claim process is set out in the Pricing Schedule.
- 7.4.4. Contractors must make each participant aware of the amount that the participant is entitled to claim for travel costs.
- 7.4.5. When calculating travel costs for participants who use their own transport the reimbursement must be calculated using a rate of £0.25 per mile.
- 7.4.6. Contractors must not make any payment of travel allowance to a participant who chooses to travel outside of the contract management area in which they live when training was available within his/her area. There may be exceptional circumstances where a participant cannot attend training in their locality; the Contractor must submit a request for approval to the Department, in writing, stating the participant's circumstances/reasons. The Contractor will be notified within 2 working days if approval has been granted or not. The Contractor must receive approval before they can pay Travel costs.
- 7.4.7. Contractors using vehicles, whether owned or hired, for transporting participants between their home and the training location may charge a *Training for Success 2017* participant up to the cost of an equivalent journey by public transport. Contractors must ensure that they have adequate insurance cover for the vehicles and obtain an appropriate licence from the <https://www.nidirect.gov.uk/information-and-services/motoring>.

Any such costs incurred by a participant are eligible for reimbursement in line with this Section.

7.5. Lodging Allowance

- 7.5.1. In exceptional circumstances, a participant may be eligible for lodging allowance in respect of accommodation. Contractors must make any necessary applications for such funding, in writing to Commercial Services Branch csb.payments@economy-ni.gov.uk through Form TfS 16 from the payments schedule. Lodgings is a temporary/short term provision.
- 7.5.2. Participants who voluntarily travel outside their home contract management area are not eligible to apply for lodging allowance, where similar training is available within their home contract management area.

7.6. Childcare Allowance Eligibility

- 7.6.1. Applications for childcare assistance can be made by a participant who makes arrangements for the care of the child(ren) on a fee-paying basis with a carer/relative, **or** a childminder, day nursery, or crèche who is registered with the appropriate authority, and who is:
- 7.6.1.1. a lone parent on *Training for Success*; or
- 7.6.1.2. a *Training for Success 2017* participant whose partner is also on *Training for Success 2017*, or other Departmental training programmes where Benefit-Based Training Allowance or EMA is being paid; or
- 7.6.1.3. a *Training for Success 2017* participant whose partner is in receipt of one or more of the following qualifying benefits:
- Attendance Allowance (AA);
 - Constant Attendance Allowance;
 - Disability Living Allowance (DLA)/Personal Independent Payment (PIP)
 - Disability or Higher Premium Pension;
 - Employment Support Allowance (ESA)

7.6.2. Contribution Rates

- 7.6.2.1. The maximum amount of financial assistance per participant per week payable in respect of childcare allowance is set out in the Pricing Schedule.
- 7.6.2.2. Contractors must consider and decide upon applications for childcare costs up to £50 per week. Contractors must refer applications for childcare costs in excess of £50 per week to the Department for consideration. Contractors must make any such referrals using form TfS 4 on the first day a participant joins *Training for Success*. Contractors must confirm the age of the child(ren) and the parental status of the participant by inspecting the child(ren)'s Full Birth Certificate(s). Contractors must only approve the claim or sign the application form when they have had sight of the original full certificate.

7.7. Payments of Childcare Assistance

- 7.7.1. Contractors must make any payment of childcare allowance directly to the carer to preserve the participant's level of Income Support (if applicable). Contractors must inform participants how the payments are to be made and the reason for doing so.
- 7.7.2. Contractors may make payment of childcare to a relative of a participant who is not a Registered Childminder. For the purpose of payment, a relative is defined as someone who is over 18 years of age and who is a grandparent, aunt or uncle of the child(ren) being cared for.
- 7.7.3. Childcare claims must be calculated on a daily rate per child and based only on the number of days in which the child has been in the childminder's care.

7.8. Childcare Retainer Fees

- 7.8.1. The purpose of the payment of a retainer fee is to ensure that the childcare place is kept available and not reallocated. The retainer fee is therefore only payable to Registered Childminders where the childcare place is temporarily unfilled. Contractors may make payment of a retainer fee in respect of childcare costs incurred when a participant is absent from training because of illness or annual leave (unauthorised leave or annual leave), and as a result, does not make use of a childcare place for such days, and where the childminding facility's terms and conditions clearly set out that the payment is required for such days. The retainer fees are not payable for periods when the child minding facility is not available.
- 7.8.2. Contractors must not make payment of retainer fees to anyone who is not a Registered Childminder.
- 7.8.3. Contractors may only make payment of retainer fees for up to a maximum of 15 days (pro rata for those not on 30-hours/5 days training) in respect of sickness and up to 25 days in respect of annual leave taken by the participant.

8. TRAINING DELIVERY

8.1. Registration with Awarding Organisations

- 8.1.1. Contractors must register each participant with an appropriate Awarding Organisation by the end of the first 26 weeks of training. Non compliance with this timescale will result in the recovery of the PTP payment by the Department.
- 8.1.2. Where block registration is used, Contractors must record the block registrations held and their allocation to individual participants within the 26 week period. Contractors must adhere to any timescales specified by the Awarding Organisation for the registration of participants. All records relating to registration with Awarding Organisations must be held for inspection by Departmental officials.

8.2. Disability Support

- 8.2.1. Disability support will be available from five Disability Support Services (DSS) separately contracted by the Department; details are provided at Annex 6.
- 8.2.2. Contractors must work with these organisations to ensure that appropriate arrangements are put in place to assist participants with a disability where such support is deemed to be of benefit to the participant. Not every participant with a disability will require such support.
- 8.2.3. Participants who have a statement of educational need and are participating in the programme should have received pre-entry training support from a DSS prior to their start on the programme. If a participant with a statement of needs starts on the programme and has not already been referred to a DSS for pre entry support, the Contractor must refer promptly using form TfS 3. See Section 17.8 for the administration process to be followed.
- 8.2.4. The Contractor must work effectively with the DSS to ensure that the individual needs of a participant with a statement of educational need are met. For participants who have not yet been statemented, or a disability has not yet been diagnosed, but the Contractor believes that a disability/educational need exists,

evidence must be obtained from a recognised source such as a health and social care professional (e.g. Participant's GP) or an educational professional (e.g. former school SENCO) using form TfS 17, and the evidence sent to Careers for the issue of a revised Training Credit with the disability code and extended training entitlement (up to 156 weeks), included. Appropriate disability support must be arranged accordingly. Additional disability payments cannot be paid until evidence is received, the disability code has been activated and a revised Training Credit has been issued.

- 8.2.5. For the purpose of assessing, monitoring, and evaluating the performance of a DSS, officers of the Department or its agents shall be allowed reasonable access to the Contractor's premises and, where necessary, will be permitted to interview staff, administrators, participants and inspect all relevant records therein.

8.3. **Additional Learning Support**

- 8.3.1. Additional Learning Support must be targeted at participants who are likely to have significant barriers to learning and employment, and/or require additional input of resources in terms of training time, equipment, or support, but do not fall into the disabled category. The provision of additional learning support is the direct responsibility of the Contractor. Contractors must ensure that support services are offered directly to participants by qualified and experienced staff or via external providers with the expertise to deliver the support required.
- 8.3.2. Contractors will receive an additional £3 per week for each participant registered on Skills for Your Life or Skills for Work Level 1. While these participants are most likely to require such support, the funding can be used to support other individuals on other strands of the programme. The Additional Learning Support which is deemed necessary must be detailed on the PTP. Additional Learning Support provided will be reviewed as part of the quality inspection process.
- 8.3.3. Additional support does **not** cover participants whose first language is not English. The Department provides English for Speakers of Other Languages

(ESOL) courses as part of its mainstream Further Education provision. ESOL is viewed as a 'stepping stone' to subsequent enrolment in courses provided by the Department. Where a cohort of learners require additional help to succeed in their learning programme, this must be addressed in the design and delivery of the main learning programme, rather than through the use of additional learning support. Moreover, such support must not be used to address needs which can be addressed through the personal and social development and employability aspects of the programme. It must also not be used to address issues that have been covered through the school system.

8.4. Work Placement

- 8.4.1. Contractors must: work closely with employers to ensure good quality and appropriate work placements for participants on all strands of *Training for Success*;
- 8.4.2. ensure that work placements do not begin until the participant has completed their induction period/initial assessment period of 4 weeks and a full PTP has been agreed. If work placement commencement and associated Delivery Agreement have not been agreed within the appropriate timescale, they will be recorded as non compliance and will be reflected in compliance reporting;
- 8.4.3. complete a Delivery Agreement at Annex 4 in advance of every work placement, to allow the participant, the Contractor, and the host employer to agree on the specific activities that will take place and to allow all stakeholders to agree on the relative benefits and responsibilities within any work placement. Activities and their timing within the work placement must be chosen so as to address the identified needs of the participant. Copies of all Delivery Agreements must be maintained by Contractors for inspection by Departmental officials;
- 8.4.4. monitor the progression of participants in work placements with host employers and be satisfied that the host employer is complying with the terms of the Delivery Agreement.

- 8.4.5. agree hours of attendance with the participant and the host employer. Contractors must ensure that participants are not required to attend for any periods that would normally attract overtime or premium payments for an employee, nor must a participant be required to attend on weekends, Bank Holidays, evenings or unusual hours.
- 8.4.6. Where a Contractor cannot find a work placement in the participant's chosen occupational area, the Department will permit a work placement in a related occupational area, where transferable skills can be demonstrated.
- 8.4.7. Where no relevant work placement can be found, a Contractor must provide robust evidence of its attempts to source a work placement, and must retain this evidence for inspection by Departmental officials. The absence of a work placement for an individual must be seen as an exceptional and temporary circumstance.

8.5. Placement or Training outside Northern Ireland

- 8.5.1. A participant can only be placed with a host employer outside Northern Ireland (NI) if an appropriate work experience placement is not available in NI. The approval of the Department's Training Programme Branch must be obtained in writing before placing a participant in a work placement outside NI. Contractors must compile written evidence of attempts to obtain work experience placements within NI and retain this for inspection by Departmental officials.
- 8.5.2. Where training needs to be delivered outside the UK, Contractors must advise participants who are in receipt of benefits of their obligation to inform the Social Security Office/Jobs and Benefits Office of their intention to train outside the UK.

8.6. Placement of participants in Care Settings

- 8.6.1. A participant whose Training Credit specifies an occupational aim in the caring sector must be informed by the Contractor that the placement and training in

that sector will be subject to a satisfactory check under *AccessNI*. Where a participant will be taking part in a regulated work placement that involves contact with children or in a care position involving contact with vulnerable adults, Contractors must have an Enhanced Disclosure Check carried out by *AccessNI*.

- 8.6.2. Contractors must ask all participants whose chosen occupational area is working with young people or vulnerable adults, to declare any reason why they might not be accepted for such training. Where a participant is found to be unsuitable for such training, they must be referred to a Departmental Careers Adviser to enable alternative training in a different occupational area to be sourced. Contractors must apply for this check within two weeks of the participant commencing *Training for Success 2017*. A placement must not commence until the *AccessNI* check has been received and cleared.
- 8.6.3. Contractors must ensure that participants placed with a host employer who operate a number of day care centres or childcare centres, must be allocated to, and remain in, one specified centre for the duration of their training.
- 8.6.4. An Enhanced Disclosure Check must be carried out through *AccessNI* for all members of staff, either within a Contractor or training partner, who is in a regulated work position.
- 8.6.5. Contractors must ensure that they follow the procedures for retention of disclosure information as described by *AccessNI* in their code of practice which can be found at www.accessni.gov.uk

8.7. Multiple Placements with one Employer

- 8.7.1. Contractors must ensure that there is a proper balance between the number of employees of a host employer or training partner and the number of participants being placed with that host employer / training partner.
- 8.7.2. Before placing a participant with a host employer, it is the responsibility of the Contractor to ascertain the number of participants already in placement with the

host employer (including those from other Contractors), and to evaluate the quality of training to be provided. Contractors must not place more than one *Training for Success 2017* participant for every five employees in any one occupational area, at any one address of the host employer.

8.8. Monitoring of Participants

8.8.1. Contractors are required to monitor the progress of each participant to ensure that:

- 8.8.1.1. the training being provided meets the training objectives set out on the participant's Training Credit, including the required Essential Skills (if appropriate) specified in the PTP;
- 8.8.1.2. the targeted qualifications, including Essential Skills (if appropriate) are being achieved and where this is not the case, suitable arrangements are being made to address this;
- 8.8.1.3. achievements are recorded on the PTP, in the Progress File/Record of Achievement and certified where appropriate; and
- 8.8.1.4. the Progress File and all other records of achievements are given to the participant on leaving the Contractor and a summative Progress File is issued for all achievements.

8.9. Recording Achievement – PTP and Progress File/Record of Achievement

8.9.1. In addition to updating the PTP to record achievement, the Progress File/Record of Achievement must also be updated to contain as a minimum:

- 8.9.1.1. an updated or new Curriculum Vitae;
- 8.9.1.2. an updated or new personal statement; and
- 8.9.1.3. an updated or new list of achievements.

- 8.9.2. Progress File materials can be ordered from the Council for the Curriculum, Examinations and Assessment (CCEA). Progress File materials will only be provided for participants who are on *Training for Success*. To request an order form, please contact Mr David Crosbie (Tel: 028 9026 1200 ext 2261 or email: dcrosbie@ccea.org.uk).

8.10. **Summative Assessment**

- 8.10.1. Contractors must carry out a comprehensive assessment of participants in order to establish whether they have achieved the required level of learning. This must be done in the context of all of the regulated qualifications targeted, but it is equally important to assess a participant's progress in their personal effectiveness, personal and social development needs and Essential Skills.
- 8.10.2. If a careers guidance issue arises during summative assessment, the Contractor must refer the participant to a Department's Careers Adviser.

8.11. **Progression**

- 8.11.1. Contractors should maximise the outcomes available to participants by assisting them to achieve the highest level of qualifications they are capable of achieving during their period of training, including progression into employment, *ApprenticeshipsNI* or Further Education. The outcomes available to participants will vary depending on the initial level of achievement, the aptitude and application of the individual, the barriers to learning and employment, and the speed of learning.
- 8.11.2. Contractors must maximise the flexibility in the Register of Regulated Qualifications (RRQ) to allow progression to occur easily by transferring unit achievement where appropriate and providing units and assessment at higher levels in part attainment of lower level qualifications.
- 8.11.3. Contractors must progress participants to a higher strand or to *ApprenticeshipsNI* or Further Education at the earliest opportunity. In order to

facilitate progression to a higher strand, it will not be necessary for participants to complete the qualifications specified on their PTP under two conditions:

- 8.11.3.1. if unit achievement can be transferred to a higher level qualification (in this case, contractors must ensure that the units already achieved form part of the targeted qualification at the new, higher level and contribute to the award of that qualification); or
- 8.11.3.2. if that unit achievement can be accredited in its own right as a smaller (in terms of total units) qualification than the one originally targeted (in this case Contractors must ensure that the participant receives the accreditation and award of the smaller qualification).
- 8.11.4. At each review stage, relevant and up-to-date information must be made available to participants on progression paths appropriate to their achievements and future targets and documented accordingly.
- 8.11.5. An exit interview must be conducted by the Contractor at least six weeks before the participant completes their period of training in order to provide the participant with information to enable him/her to make an informed choice about his/her next steps. This timeframe will also enable the Contractor to plan ahead and address associated administration procedures. If a participant is not progressing to employment, Further Education, Apprenticeships, or further training, the Contractor must refer the participant to the Departmental Careers Adviser to discuss further career options.
- 8.11.6. Where a participant wishes to pursue an apprenticeship and a Contractor does not hold an *ApprenticeshipsNI 2017* contract, the Contractor must refer the participant to the Apprenticeships Helpline via NI Direct, Tel: 0300 200 7876 for information on the *ApprenticeshipsNI 2017* Contractors who deliver his/her chosen occupational area. This information is also accessible online at NI Direct <https://www.nidirect.gov.uk/articles/types-apprenticeships>
- 8.11.7. In circumstances where the participant gives notification of his/her intention to leave before completing his/her training entitlement, an exit interview must be

conducted as soon as this information becomes available to enable completion of all records and referral to Departmental Careers if required.

8.12. Extensions to Training Entitlement

- 8.12.1. There will be **no** extensions to the maximum training entitlement set out at Section 5.1.6.

8.13. Residential, Visits and Exchanges

- 8.13.1. Where a PTP includes participation in a Residential in line with a clear development goal, a request for approval must be submitted to the Department via email to csb.payments@economy-ni.gov.uk. The request must include details of the participants taking part in the Residential, including names and client identification numbers, and a brief description of the activity.
- 8.13.2. When organising Residential Training, Visits or Exchanges, Contractors must adhere to the guidance contained in the *Guidelines on Residential Training and Visits/Exchanges* as set out in Annex 12.

8.14. Consent of Parents or Guardians

- 8.14.1. Contractors must ensure they have the written consent from a parent or guardian for any participant under the age of 18 taking part in any of the following:
- 8.14.1.1. a course in Great Britain;
 - 8.14.1.2. a Residential
 - 8.14.1.3. a visit abroad (outside the UK);
 - 8.14.1.4. a sea-going activity (excluding normal sea travel, but including water sports);

8.14.1.5. a hazardous activity

8.14.1.6. Where consent is not given, Contractors must make suitable alternative training arrangements for participants who are not attending.

8.15. Transfer of Participants

8.15.1. Where a participant is transferred to another Contractor approved to deliver *Training for Success 2017*, the former Contractor must transfer all records relating to that participant to the new Contractor, within five working days of receiving a request from the new Contractor.

8.15.2. Where a participant requires further careers information, advice, guidance or Training Credit in relation to their options, the new Contractor must refer the participant to the Careers Service.

8.16. Participants Leaving Training for Success 2017

8.16.1. Contractors must email Departmental Careers Service if it is known that the participant is likely to leave, is leaving, or has left *Training for Success 2017* with no job or further training in prospect.

8.16.2. Where a participant leaves the programme for any reason, Contractors must complete the relevant sections in both the Hard Copy and Electronic Copy PTP. See Section 17.14 for further instructions.

9. TARGETED QUALIFICATIONS (INCLUDING ESSENTIAL SKILLS)

- 9.1. Contractors must deliver to participants at least one targeted qualification in each of Personal and Social Development, Employability, Professional and Technical Skills and Essential Skills, except where an exemption exists for Essential Skills (detailed Guidance on Essential Skills, including advice on Essential Skills' exemptions is set out at Section 9.12, 9.13 and 9.14).
- 9.2. Contractors may use combined qualifications to cover the Personal and Social Development and Employability areas of the programme.
- 9.3. Contractors must ensure that the development of Employability, Personal and Social Development and Essential Skills are supported and consolidated throughout the Professional and Technical training.
- 9.4. Contractors must ensure that participants undertake a programme of learning which includes full qualifications in each of the curricular areas referred to in this section as stated above, and taken from the Register of Regulated Qualifications (RRQ) over their entitlement on the programme. Contractors must ensure that, where applicable, Essential Skills are completed in addition to these targeted qualifications.
- 9.5. The Department will not specify the exact qualification, other than at level 2, where the qualification must be the knowledge based component taken from the current level 2 ApprenticeshipsNI Framework in the relevant occupational area. Where the knowledge and competence components have been combined, participants must take the Combined Qualification from the ApprenticeshipsNI framework.
- 9.6. Contractors must ensure that participants do not replicate learning which has already been undertaken prior to entering training. Contractors must establish whether the participant has already undertaken vocational education, employability training and personal and social development education, and design a programme which builds upon this learning and previous achievement. Duplicated qualifications will not be paid.
- 9.7. All of the targeted qualifications must be selected from the Register of Regulated Qualifications (RRQ), <http://register.ofqual.gov.uk/>.

9.8. Personal Development Qualifications

9.8.1. Contractors must ensure that participants achieve at least one regulated qualification in Personal and Social Development. The personal development aspects which participants must develop include:

9.8.1.1. understand the personal and social issues which affect them;

9.8.1.2. communicate information, ideas, and opinions clearly and in a style and format appropriate to the purpose and audience;

9.8.1.3. listen and respond appropriately and to engage in discussion;

9.8.1.4. acquire self-confidence through interaction and communication; and

9.8.1.5. participate with increasing confidence and understanding in a range of cultural and recreational, individual and team activities.

9.8.2. In planning provision for personal and social development, Contractors must:

9.8.2.1. seek to promote the young person's self-worth, self-confidence, and sense of responsibility;

9.8.2.2. promote health-related topics such as sex education, basic first aid, and awareness of alcohol, solvent and drug abuse;

9.8.2.3. promote positive values and attitudes in relation to self and others;

9.8.2.4. develop the young person's skills in decision making, problem solving, and inter-personal relationships;

9.8.2.5. provide opportunities for the young person to reflect on their own life experiences, decisions, attitudes, values and behaviour;

9.8.2.6. create a caring and supportive ethos; and

9.8.2.7. consult and collaborate with external support agencies, where appropriate/necessary.

9.8.3. These qualifications must be chosen from the RRQ with a subject sector code of 14.1 (Foundations for Learning and Life).

9.9. Employability Qualifications

9.9.1. Contractors must ensure that Participants achieve at least one regulated qualification in Employability skills. This must enhance the participant's ability to:

9.9.1.1. work independently or as part of a team;

9.9.1.2. develop creative, information-handling and problem-solving skills;

9.9.1.3. demonstrate increased motivation and positive attitude to work;

9.9.1.4. identify possible opportunities for training and employment with appropriate progression routes; and

9.9.1.5. be able to apply for jobs and participate in interviews.

9.9.2. These qualifications must be chosen from the RRQ with a sector subject area code of 14.2 (Preparation for Work).

9.10. Professional and Technical Qualifications in Skills for Your Life / Skills for Work Level 1

9.10.1. Contractors must ensure that participants achieve regulated Professional and Technical Qualifications. These may be knowledge based or competence based.

- 9.10.2. Contractors must ensure that participants have access to training to develop their professional and technical skills in their chosen occupational area and allow them the opportunity to progress to an apprenticeship, as appropriate. Contractors must be mindful of the need to comply with specified industry requirements in considering the occupational area a participant is to follow and assess their suitability for their chosen occupation. Such factors may include whether the participant meets any health or other requirements (e.g. colour vision, working at heights or in confined spaces, allergies or any other factors which may deem occupational choice unsuitable). Where doubts persist, the participant must be referred to a Departmental Careers Adviser for advice and guidance on alternative career choices.
- 9.10.3. Contractors must use the full flexibility of the RRQ and must seek to 'stretch' participants by providing access to higher level units where appropriate to participant's needs, or by including higher level units as part requirements to achieve a qualification, where this is specified in a qualification pathway.

9.11. Professional and Technical Qualifications in Skills for Work Level 2

- 9.11.1. The Contractor must ensure that: participants who are capable of achieving at level 2 are undertaking qualifications which will facilitate their progression into employment. They must therefore undertake qualifications which are specified on an *ApprenticeshipsNI* framework, appropriate to their chosen occupational area;
- 9.11.2. participants complete the knowledge based component of the appropriate *ApprenticeshipsNI* framework, or, where knowledge and competence components have been combined, participants must take the Combined Qualification on the *ApprenticeshipsNI* framework;
- 9.11.3. participants complete the Essential Skills requirements of the appropriate *ApprenticeshipsNI* framework as a minimum but be facilitated to achieve higher.
- 9.11.4. participants complete the Employee Rights and Responsibilities strand of the appropriate *ApprenticeshipsNI* framework;

- 9.11.5. participants complete any additional mandatory requirements specified on the appropriate *ApprenticeshipsNI* framework;
- 9.11.6. participants' competence based learning is assessed. This assessment must contribute to the qualification specified on the Level 2 *ApprenticeshipsNI* framework

9.12. Essential Skills

- 9.12.1. Contractors are required to deliver the Essential Skills of Literacy and Numeracy at Entry Level, and Communication, Application of Number, and ICT at levels 1 & 2. The Department has completed a Refresh of Essential Skills focusing on the standards, curriculum and assessment arrangements. The refreshed curriculum was published and issued in July 2016 and is available on the DfE website:

<https://www.economy-ni.gov.uk/sites/default/files/publications/economy/Essential%20Skills%20Interactive%20PDF%20%28revised%29.pdf>

- 9.12.2. The Essential Skills requirements can be met either through the achievement of Essential Skills Qualifications or through a relaxation/concession. Those who are following a *Training for Success 2017* strand and have achieved any of the following qualifications in English, English Literature or Mathematics, are not required to undertake the corresponding Essential Skills qualification at level 1 or level 2:

- 9.12.2.1. A Level (grades A-E) / AS Level (grades A-E);

- 9.12.2.2. GSCE (grades A*-C or 9/4);

- 9.12.2.3. Irish Leaving Certificate /higher level (grades A-D)/ordinary / standard level (grades A-C);

- 9.12.2.4. Key Skills at Level 1 or Level 2;

- 9.12.2.5. Functional Skills at Level 1 or Level 2;
- 9.12.2.6. Essential Skills Wales at Level 1 or 2;
- 9.12.2.7. Core Skills Scotland;
- 9.12.2.8. Intermediate 1 and 2 (grades A-C) (Scotland); or/General Standard Grade (Scotland) or;
- 9.12.2.9. SCQF Level 4 and 5.
- 9.12.3. The relaxation/concession route exempts the participant from the need to undertake an Essential Skill as required, but does not constitute the attainment of an Essential Skill qualification as detailed in 9.12.1 and therefore a payment must not be claimed as this will not be paid.

9.13. Essential Skills Delivery

- 9.13.1. Under *Training for Success 2017*, participants must be targeting a qualification at least one level above their prior achievement in English and/or Mathematics or where no prior achievement exists, their assessed level. Participants with grade D or 3 must target level 2 Essential Skills; those below a grade D or 3, target level 1 with a view to progressing to level 2. If initial and diagnostic assessment shows that a young person, who has achieved a GCSE grade of below a grade D or 3, is capable of targeting level 2, then he/she must be supported to do so. Grades E-G or below 3 in GCSE must not be considered as proxy level 1 qualifications for the Essential Skills.
- 9.13.2. Similarly, in keeping with the Programme for Government a participant who has already achieved a Level 1 qualification in Application of Number, or Communication, Contractors must provide the participant with an opportunity to work towards an Essential Skill qualification at Level 2.

- 9.13.3. Where a participant presents with an ICT qualification that is equivalent to a level 2 on the RRQ then there must be no requirement to undertake the Essential Skill of ICT.
- 9.13.4. Contractors must deliver an Essential Skills teaching programme which makes full use of the context of the participant's Professional and Technical area and/or social and personal interests.
- 9.13.5. Contractors must ensure that all Essential Skills courses are at least **45** hours duration per Essential Skills area unless the initial assessment process indicates that the participant is capable of achieving their Essential Skills qualification in a shorter period.
- 9.13.6. In those instances where the initial assessment process indicates that the participant is capable of achieving their Essential Skills qualification in a shorter period Contractors must:
- 9.13.6.1. endorse the initial assessment and confirm the hours of learning required;
 - 9.13.6.2. retain evidence to support the quality of teaching and learning for future inspection; and
 - 9.13.6.3. ensure that Essential Skills achievements for those participants accessing provision of less than 40 hours reach at least a 90% success rate.
 - 9.13.6.4. In cases where the success rate drops below 90% the Department may remove the Contractor's ability to apply the flexibility outlined at 9.13.5.
- 9.13.7. The refreshed curriculum is available on the DfE website at:

<https://www.economy-ni.gov.uk/sites/default/files/publications/economy/Essential%20Skills%20Interactive%20PDF%20%28revised%29.pdf>

9.14. Essential Skills Tutor Education

- 9.14.1. Essential Skills tutors delivering Literacy/Communication, Numeracy/Application of Number, and ICT must be qualified as set out in the Department's Circular: ES 01/12 – Qualifications Required to Deliver Essential skills in NI. This circular can be downloaded at;

<https://www.economy-ni.gov.uk/sites/default/files/publications/del/es-01-12-qualifications-required-to-deliver-essential-skills.pdf>

- 9.14.2. Any queries regarding any aspect of Essential Skills qualifications must be forwarded in writing to Training for Success at Training Programmes Branch in the first instance.

10.ROLE OF CAREERS SERVICE

10.1. Brief Outline of Careers Service Role

- 10.1.1. The Department's Careers Service is an all-age guidance service that provides impartial careers information, advice, and guidance to people in education, training, employment and to the unemployed. This is delivered through a network of Careers Advisers who are based in Careers Resource Centre / Jobs and Benefits Office or JobCentres throughout Northern Ireland.
- 10.1.2. Departmental Careers Advisers will agree and review a Partnership Agreement (PA) with all *Training for Success 2017 Contractors*. The PA sets out the Careers Service contribution to the career programme which will contain details of the referral arrangements between the Contractor and Careers Service.
- 10.1.3. Within *Training for Success 2017*, the role of Careers Service will be to provide;
- 10.1.3.1. Pre-entry guidance within education including any agreed referral to pre-entry Disability Support; and
- 10.1.3.2. Provide careers support appropriate to each participant's needs throughout their training entitlement via self-referral, Contractor referral, or as identified by the Departmental Careers Adviser.

- 10.1.4. This support includes;
- 10.1.4.1. Ensuring that young people are fully informed about career options, including the full range of contractors providing training in their chosen occupational area;
 - 10.1.4.2. Discussing training options tailored to their individual needs and circumstances which will provide progression and support career goals;
 - 10.1.4.3. Encouraging young people to choose options which will maximise their chances of attaining skills and qualifications to match their career goals;
 - 10.1.4.4. providing advice on potential job opportunities and next steps following successful completion of their training;
 - 10.1.4.5. encouraging young people to maintain contact with the Careers Service and to share any issues which would prevent them from achieving a successful outcome;
 - 10.1.4.6. acting as an advocate for the young person ensuring they secure the maximum benefit from their training entitlement;
 - 10.1.4.7. reporting to Training Programmes Branch/Commercial Services Branch (TPB/CSB) evidence of where an individual or individuals are not receiving training provision in line with *Training for Success 2017* Operational Requirements and;
 - 10.1.4.8. working alongside TPB/CSB to ensure the Department secures the best return on the investment in training.
- 10.1.5. Careers Advisers, through Partnership Agreements with Contractors, will arrange follow-up guidance to training participants within the first twelve weeks of their training to determine if the participant is satisfied with their training choice and offer further careers support.

- 10.1.6. Contractors must notify the Careers Service immediately of any participant who has left training prematurely. Contractors must also notify the Department's Careers Service of all participants who are within twelve weeks of completion of their training. Careers Advisers will make contact with these participants to offer careers guidance on progression pathways.

10.2. Issue of Training Credit

- 10.2.1. Following the release of GCSE results in August, young people who are interested in progressing into training in September must attend their local Careers Resource Centre / Jobs and Benefits Office or JobCentre depending on the location of their Careers Adviser. Young people can contact their local Careers Advisers by phoning 0300 0200 7820 or visiting the Careers Service website www.nidirect.gov.uk/careers to find their nearest office.
- 10.2.2. Prior to entering training, each potential participant/young person will receive a guidance interview from the Department's Careers Service. If the occupational area and level of training remains the same as that discussed with the Careers Adviser whilst in education, the Careers Service will issue a Training Credit based on the recommendations agreed at that pre entry guidance discussion. Where the occupational area and/or level is different to that previously discussed, or where the young person requests an appointment with the Careers Adviser to discuss his/her preferred training pathway, the Departmental Careers Adviser will issue a Training Credit that reflects the career aspirations and career progression pathway for the young person, including information on the local training contractors that the young person can choose to train with.

10.3. Issue of further/revised Training Credit

- 10.3.1. Where a training contractor determines that the recommended training level (as produced on the initial Training Credit) is not suitable for the young person, the Careers Adviser will review this based on the information held by the Careers Service, and any new information that the contractor produces which it feels supports a case for change. A revised Training Credit may/may not be

produced. Contractors must raise such cases with Training Programmes Branch. Careers Service will respond as appropriate to guidance from Training Programmes Branch in such cases.

11. PROGRAMME TARGETS / PERFORMANCE INDICATORS

11.1. Key Performance Indicators (KPIs) provide the Department with a means to assess the potential and actual outcomes against the contractual targets identified by the KPIs and provides a means to gauge the effectiveness of the programme. The Department has developed KPIs to assist it evaluate the success of the programmes. The KPIs are detailed in Annex 1 of the Contract Monitoring Schedule.

11.2. Reporting of Targets

11.2.1. The Department wishes to align its target setting for *Training for Success 2017* in line with approaches taken to target setting and reporting adopted in Further Education. Consequently the targets relating to *Training for Success 2017* will be measured and reported on by academic year for the purposes of performance management and statistical reporting.

12. PROMOTION OF TRAINING FOR SUCCESS

12.1. Advertising, Marketing and Branding

- 12.1.1. Contractors must ensure that any advertising/promotional material clearly reflects the purpose and aims of the training provided and that any offer of incentives to a potential young person does not detract from, or take preference over, this message.
- 12.1.2. Contractors are free to market *Training for Success 2017* using the Department's Skills to Succeed identity which has been developed as an overarching brand for its skills initiatives in Northern Ireland. Using a consistent branded theme for all Skills to Succeed marketing and advertising will maximise its effectiveness. Although the same design is shared by all programmes it is important that each programme can be identified in its own right. The logos for each programme and initiative are distinguished from one another by a secondary colour; this includes the positive tick icon. For *Training for Success 2017* please use the one with the green tick, Starter Skills 16-18.
- 12.1.3. The Department must always be approached to seek approval on content and designs featuring the campaign identity, **prior** to going to print. This is to ensure the Department's logo and relevant programme logo appears on the front of all promotional materials.
- 12.1.4. If you require further information or have any questions about the correct use of the DfE logo or *Training for Success* creative materials please direct your query to trainingforsuccess@economy-ni.gov.uk.

12.2. Recruitment Activity

- 12.2.1. Contractors must not actively promote their services in contract management areas in which they do not hold a contract.
- 12.2.2. Contractors must conduct their recruitment activities in a manner that is not prejudicial to the interests of individual young persons.

13.COMPLIANCE OBLIGATIONS

13.1. Health and Safety Compliance

- 13.1.1. In addition to the Health and Safety Requirements of the 'Conditions of Contract' issued by the Department, both Contractors and their training partners (i.e. sub-contractors and host employers) are responsible for ensuring the health, safety, and welfare of all participants. Contractors must produce a written statement of their health and safety policy, together with the general arrangements for carrying out that policy. Contractors must regularly monitor health and safety on all premises, including those of their sub training partners/host employers and, together, provide a level of supervision consistent with the activities being undertaken.
- 13.1.2. It is the responsibility of Contractors, together with their training partners, to ensure that staff and participants are provided with, and use the necessary safety equipment appropriate to the training and the working environment. Contractors must make adequate arrangements to provide participants with appropriate health and safety induction at each location, together with any supporting instructions or guidance material. Contractors must assign responsibility for health and safety to a named person within their organisation.

13.2. Accidents

- 13.2.1. Contractors are responsible for investigating and reporting all accidents involving a participant, in line with procedures outlined at www.hseni.gov.uk, irrespective of whether it occurs on their own premises, or on those of a training partner. See section 17.15 for details of how to record accidents on TMS.

13.3. Industrial Injuries Benefit

- 13.3.1. A participant who suffers personal injury or contracts an industrial disease as a result of training is not eligible to receive benefit under the Social Security Contributions and Benefits (Northern Ireland) Act 1992. The Department may,

however, make a payment equal to the benefits available under the Act. Any claims arising under this procedure must be referred to the Department for Communities/Social Security Agency and copied to Commercial Services Branch (*Payments Processing*) csb.payments@economy-ni.gov.uk.

13.4. Equality Monitoring

- 13.4.1. A Participant Enrolment/Equality Monitoring Form at Annex 8 must be completed for every participant and the information inputted to TMS. Once this is inputted into TMS, the Participant Enrolment/Equality Monitoring Form must be destroyed.

13.5. Good Relations

- 13.5.1. The Department would require all Contractors involved in the delivery of its provision to take whatever action they can to improve and encourage effective cross-community relations. Whilst Contractors are free to choose the most appropriate activities for their organisation, consideration must be given to forging close links with other Contractors and locations that are perceived to be identified with another community. The Department will monitor how effectively Contractors are fulfilling this obligation.

13.6. Political and Controversial Activities

- 13.6.1. Contractors must not permit any activity which is likely to be seen as indoctrinating a participant or as promoting a particular political, religious, or other controversial viewpoint.

13.7. Safeguarding Vulnerable Groups

- 13.7.1. Contractors must make sure they are fully compliant with the terms of current legislation relating to the safeguarding of young people and vulnerable adults.

- 13.7.2. An Enhanced Disclosure Check must be carried out through *AccessNI* for all members of staff, either within a Contractor or training partner, who is in a regulated work position.
- 13.7.3. Contractors must ensure that they follow the procedures for retention of disclosure information as described by *AccessNI* in their code of practice which can be found at www.accessni.gov.uk

13.8. **EU Charter for Regional and Minority Languages**

- 13.8.1. Contractors must familiarise themselves with the EU Charter for Regional and Minority Languages and any requirements which arise.
- 13.8.2. <https://www.finance-ni.gov.uk/sites/default/files/publications/dfp/dfp-minority-languages.pdf>

14. PARTICIPANT ATTENDANCE

14.1. Hours of Attendance

- 14.1.1. Contractors must ensure that a participant attends training or work placement for a minimum of 30 and a maximum of 35 hours per week, inclusive of directed training and work placements/sampling but exclusive of lunch breaks, unless Section 14.2 or Section 14.3 applies. This is to ensure that participants retain their entitlement to non-means tested Education Maintenance Allowance of £40 per week.
- 14.1.2. The Department will not be prescriptive about the number of days per week that the participant must attend the programme.
- 14.1.3. Contractors must ensure that records of attendance (both online and hard copy) are fully completed/signed and hard copies are received from the participant within five days from the previous week ending.
- 14.1.4. Where a Contractor considers that, due to the existence of exceptional personal circumstances, a participant cannot adhere to the prescribed attendance requirements, the Contractor must submit a request for 'Reduced Attendance' to the Departmental Careers Adviser for consideration and possible approval; for administration procedure please refer to section 17.5.3.
- 14.1.5. Unless the exceptions outlined in Sections 14.1.7 and 14.2.5 apply, Contractors must ensure that participants spend a minimum of 40% of their total time on the programme in directed training and a maximum of 60% of their total time on the programme in work placement. The time on programme is calculated as the total number of supported weeks for the individual minus their holiday allocation.
- 14.1.6. Contractors may structure this through a weekly placement, block placements, or a combination provided that the total balance of time spent on the programme fulfils this 60/40 requirement. Participants must not spend any more than eight weeks at any one time on continuous work placement, i.e. a work placement without any directed training. Participants must not undertake

consecutive continuous work placements without a period of time which includes directed training. This period must be at least 50% of the time spent on the previous continuous work placement.

- 14.1.7. The attendance pattern to be followed will be flexible in allowing Contractors to structure the directed training/work placement balance in a way that better suits their delivery model. The Department will not seek to reclaim monies paid when there has been an excess of directed training in the absence of a suitable work placement.

14.2. Flexible Attendance in Skills for Your Life

- 14.2.1. For participants on Skills for Your Life, Contractors will be allowed flexibility around the 30 hour requirement in the early stages of the programme as set out in sections 14.2.2 to 14.2.4 below.
- 14.2.2. For the first two weeks of the initial assessment period, Contractors must ensure that a participant attends a minimum of ten hours per week directed training.
- 14.2.3. For the remaining initial assessment period, up to a maximum of ten further weeks, Contractors must ensure that a participant attends a minimum of 21 hours per week directed training. Flexible attendance hours do not include lunch breaks.
- 14.2.4. Following the initial assessment period, Contractors must ensure that a participant attends a minimum of 21 hours per week directed training, until week 26 of the provision at the latest. In addition to the 21 hours of directed training, Contractors must ensure participants take part in work placements, sheltered work placements, or job sampling, with a view to building up to a minimum of 30 hours attendance per week as soon as possible, but by the end of week 26.
- 14.2.5. From week 26, Contractors must ensure that participants are in attendance in line with Section 14.1. Para 6.7.2 also refers.

14.3. Flexible Attendance in Skills for Work Level 1

- 14.3.1. For participants on Skills for Work Level 1, Contractors will be allowed flexibility around the 30 hour requirement in the early stages of the programme as set out in sections 14.3.2 to 14.3.3 below.
- 14.3.2. For the initial assessment period, up to a maximum of 12 weeks Contractors must ensure that a participant attends a minimum of 21 hours per week directed training.
- 14.3.3. Following the initial assessment period Contractors must ensure that a participant attends a minimum of 21 hours per week, of which a minimum of 14 hours must be in directed training and the remaining time must be in work placement. Flexible attendance hours do not include lunch breaks. Contractors must ensure that participants build up to a minimum of 30 hours attendance per week as soon as possible but by the end of week 26. Para 6.7.3 also refers.
- 14.3.4. From week 26, Contractors must ensure that participants are in attendance in line with Section 14.

14.4. Skills for Work Levels 2 and 3

- 14.4.1. There are no flexible attendance arrangements permitted on these strands other than in approved exceptional circumstances as set 14.1.4.

14.5. Authorised Absence

- 14.5.1. Hours in which a participant is absent for the reasons set out in this section may be disregarded when assessing participant attendance in line with 14.
- 14.5.2. Contractors must authorise absence requests, without deductions from EMA, for the following reasons and associated time periods:
 - 14.5.2.1. to attend interviews for employment or Further Education – duration of interview plus travel time;

- 14.5.2.2. to attend interviews with the Department for Communities, Careers Service and/or Social Security Agency/Jobs and Benefits Office – duration of interview plus travel time;
- 14.5.2.3. to take written examinations or external competitive assessments related to the Professional and Technical Qualifications being pursued – duration of examination/assessment plus travel time;
- 14.5.2.4. to answer a summons to a court of law – for attendance at court plus travel time;
- 14.5.2.5. for domestic emergencies including immediate family bereavements - maximum five days;
- 14.5.2.6. to attend annual training courses organised by Army/Naval/Air Force Cadets (not including Territorial Army - see section 14.5) up to a maximum of two weeks in any training year;
- 14.5.2.7. to attend or partake in a national or international sporting events, either individually or as part of a team, for a period from date of departure for the event to date of return from the event, up to a maximum of ten days in any training year;
- 14.5.2.8. to attend hospital/doctor/dental appointments – duration of treatment plus travel time. Please note this is only in emergencies or where appointments cannot be arranged outside the hours of participation;
- 14.5.2.9. to attend regular hospital visits or health checks for participants with disabilities; and
- 14.5.2.10. to attend events directly associated with *Training for Success* – duration plus travel time.

- 14.5.3. Contractors must retain evidence of all appointments for inspection by Departmental officials.

14.6. Unauthorised Absence

- 14.6.1. If a participant is absent without permission for more than five consecutive training days, the Contractor must treat them as having left *Training for Success 2017* and terminate the participant from training on the sixth day of absence.
- 14.6.2. If a participant is absent without permission for any reason other than those outlined in Section 14.5, the participant must not receive EMA for the period of absence. Contractors must deduct one fifth of the normal weekly allowance for each full day absence, or one tenth for a half day of unauthorised absence.

14.7. Absence due to illness

- 14.7.1. Where a participant is absent due to illness, Contractors must require participants to report the reason for absence to the Contractor, on the first morning of illness, indicating the expected duration of the absence.

14.8. Absence due to illness

- 14.8.1. Contractors must require a doctor's certificate if a participant is absent due to illness for more than seven consecutive days, including holidays and weekends. Shorter absences must be covered by a Self-Certification form.
- 14.8.2. Providing these procedures have been followed, a participant may be paid EMA for a total of 15 working days of sickness absence in any year of training; for this purpose, a year is defined as 12 months from the date of registration on the programme.
- 14.8.3. Contractors must not pay EMA for more than 15 days absence due to illness in any year. The Contractor must consider the effect of excessive absences on the

training objective and invoke disciplinary procedures where necessary; see section 15.4.

- 14.8.4. Absences due to a pregnancy-related illness, or illness related to a participant's disability evidenced by the participant's GP, must be disregarded when aggregating a participant's sick record with regards to Disciplinary procedures outlined in section 15. See also 14.9.2.
- 14.8.5. Suspected abuse of self-certified sick absences i.e. sick absences confirmed by the participant and not a medical professional/doctor/GP must be investigated by the Contractor and disciplinary procedures must be applied where appropriate. Evidence must be held for inspection by Departmental officials.

14.9. Prolonged Absence due to illness

- 14.9.1. Where a participant has been absent due to illness for 15 consecutive working days the participant must be withdrawn from *Training for Success* to protect the balance of their training entitlement. All payments will cease from day 16, until the participant rejoins the programme.
- 14.9.2. Where such an absence is due to a pregnancy-related illness, or illness related to a participant's disability evidenced by the participant's GP, Contractors must withdraw such a participant from training at the end of 30 consecutive working days of absence. It is considered that absence beyond that period, by reducing further the balance of training due, would affect the participant's ability to complete *Training for Success*. All payments will cease from day 31 until participant rejoins the programme.

14.10. Interrupted Training

- 14.10.1. If a participant's training is interrupted due to pregnancy, custodial sentence, care order or any sudden unforeseen event (excluding sickness and accidents), the Contractor must terminate the participant from the programme. This is in order to protect the participant's future entitlement to training weeks as set out

in section 5.1.6. Contractors must cease to claim the training fee and EMA contribution and cease payment of EMA to the participant.

- 14.10.2. In these circumstances a participant must be encouraged to re-enter *Training for Success 2017* following the enforced interruption, in order to receive the balance of training.
- 14.10.3. Participants who are members of the Territorial Army and are participating in annual camp/training exercises, must be removed from programme for the duration of camp/training exercise. Participants are permitted to return to training after participation in annual camp/training exercises.
- 14.10.4. If a participant reaches the age of 18 during a period of 'interrupted training/enforced interruption' as set out in section 14.10, they may re-enter *Training for Success 2017* to receive the balance of training.

15. DISCIPLINARY POLICY

15.1. Disciplinary Procedure

- 15.1.1. Contractors must ensure that each participant has access to clear written procedures on grievance and disciplinary matters, and is informed of those procedures at the induction. Contractors must ensure that their disciplinary procedures comply with the instructions set out in this section. This procedure must include the following terms concerning Serious and Gross Misconduct and define those terms as follows:
- 15.1.1.1. Serious Misconduct – conduct which initially requires disciplinary action other than suspension/dismissal (although if further misconduct takes place, it may lead to suspension/dismissal). This can include persistent lateness, unauthorised absence as well as absence due to illness and failure to meet known work standards. In exceptional circumstances where a contractor has a query or doubt about suspending a young person, the Contractor must contact Training Programmes Branch in writing for advice **before** they act.
- 15.1.1.2. Gross Misconduct - an act of misconduct which permits a Contractor to suspend a trainee on the first occurrence if the offence is viewed as gross misconduct. In general, this includes offences such as theft, physical violence, very serious breaches of health and safety rules, bullying etc.
- 15.1.2. In disciplinary matters, a participant must not be treated less favourably than an employee of the Contractor. Short-term suspension without EMA may be invoked as part of the disciplinary procedure (for example, to facilitate an investigation of disciplinary breach), when the procedure has reached the final written warning stage. It may be used only in exceptional circumstances. Suspension without EMA must not last for more than two days.

15.2. Representation at Disciplinary Hearing

- 15.2.1. Contractors must allow a participant to be accompanied by a parent/guardian, fellow participant, or Trade Union representative during disciplinary interviews.
- 15.2.2. It is essential that a written record of all verbal and written warnings is retained in the participant's personal record for inspection by Departmental officials. Contractors must ask participants to countersign each record of warning and record any refusal to do so. Specimen Disciplinary Letters are included in Annex 7 (a – d).
- 15.2.3. A participant's expected end date will not be extended by any absences resulting from the disciplinary process. In the case of successful appeal, the participant will receive the balance of weeks on training which will include weeks for which they were suspended.

15.3. Serious Misconduct

- 15.3.1. Cases of serious misconduct must be treated as follow:
 - 15.3.1.1. For a First Occurrence, Contractors must issue a verbal warning. See Annex 7a;
 - 15.3.1.2. For a Second Occurrence, Contractors must issue a written warning. See Annex 7b;
 - 15.3.1.3. For a Third Occurrence, Contractors must issue a final written warning. See Annex 7c;
 - 15.3.1.4. For a Fourth Occurrence, Contractors must suspend the participant for a period of two weeks. See Annex 7d.
- 15.3.2. In certain cases Contractors may enact all of the above steps for the first occurrence if, in the opinion of the Contractor, the occurrence is of sufficiently serious nature to merit immediate suspension. All warnings and suspension

notifications must be communicated to the participant's Careers adviser immediately, on the same day as issue to participant.

- 15.3.3. Contractors must inform the participant in writing of any suspension, the reasons and the restrictions that govern re-entry to the programme. A participant may resume training following a period of suspension, (except where 15.4.3 applies), even if over 18 provided he/she returns to training in the week following the expiry of the suspension.
- 15.3.4. A participant will only be allowed to have a total of three separate incidents of serious misconduct (except where 15.4 applies) which lead to suspension and, should a further case arise which would otherwise lead to suspension, the participant will be dismissed from the programme and not be permitted to re-enter *Training for Success*.

15.4. Absence as Serious Misconduct

- 15.4.1. Contractors must treat unauthorised and/or sick absence due to illness as serious misconduct once the participant has been absent for a total of ten days in three consecutive claim periods.
- 15.4.2. Where the participant has missed ten days in three consecutive claim periods, Contractors must issue the participant with a written warning immediately on the tenth day. Where a participant misses 15 days in three consecutive claim periods, the participant must be suspended for a period of two weeks without EMA. During the period of suspension, all payments will stop; the Contractor must not claim training fee or travel contribution in respect of the suspended participant.
- 15.4.3. If a participant who has been suspended due to frequent unauthorised absence and absence due to illness subsequently accumulates ten further absences in the 12 months from the date of return following suspension, Contractors must dismiss the participant from the programme. When the participant accumulates five days, the Contractor must intervene and a warning must be issued immediately.

15.5. Gross Misconduct

15.5.1. Cases of Gross Misconduct must be treated as follows;

15.5.1.1. For a First Occurrence, Contractors must suspend the participant for 4 weeks without Educational Maintenance Allowance. During the period of suspension, the Contractor must not claim any payments, including training fee or travel contribution in respect of the suspended participant.

15.5.2. Contractors must not allow a participant who is suspended from training in cases of Gross Misconduct, to re-apply for admission until a period of four weeks has elapsed since the last day of training.

15.5.3. Contractors must seek written permission from Training Programmes Branch prior to allowing an eligible participant who has been suspended for Gross Misconduct, to rejoin *Training for Success 2017*. Where permission is granted, Contractors must require the participant to sign an agreement to observe the Code of Conduct and attendance stipulated by the Contractor.

15.5.4. A participant will only be allowed to have a total of two separate incidents of Gross Misconduct and, should a further case arise, they must be dismissed from the programme and not permitted to re-enter *Training for Success 2017*.

15.5.5. Contractors must inform the participant in writing of any suspension, the reasons and the restrictions that govern re-entry to the programme.

15.5.6. Contractors must inform the Department immediately when a disciplinary matter results in the suspension or dismissal of a participant. Participants must be notified of suspension or dismissal in writing. Contractors must note that the Department will grant a right of appeal to participants suspended or dismissed for disciplinary reasons.

- 15.5.7. Contractors must immediately inform the Social Security Agency of participant's suspension if he/she is receiving Income Support. Contractors must retain a record of this notification for inspection.

15.6. Participant's Right of Appeal

- 15.6.1. In all cases of suspension/dismissal Contractors must advise participants' of their right to appeal against any suspension or dismissal.
- 15.6.2. Written appeals setting out the grounds for appeal must be forwarded to the Head of Training Programmes Branch, 5th Floor, Adelaide House, Adelaide Street, Belfast BT2 EFD, or by email to: TrainingforSuccess@economy-ni.gov.uk and mark *for the attention of: Head of Training Programmes Branch*. The written appeal must be received in Training Programmes Branch within 7 days of date of issue of the suspension/dismissal letter.
- 15.6.3. On receipt of the written appeal Training Programmes Branch will arrange within seven working days (where possible), a three-person panel of independent Departmental Careers Advisers and an official from Training Programmes Branch. TPB will advise the participant of the date, time and venue of the appeal hearing. The panel will meet with the participant and their representative(s) in a neutral venue to consider the appeal.
- 15.6.4. The Department will set out in writing the result of any appeal which will be binding on all parties.

16. CLAIMS PROCEDURES

16.1. General Requirements

- 16.1.1. Contractors must refer to the Pricing Schedule contained in the Contract for *Training for Success 2017* for all matters relating to the claiming of funding in relation to the programme. All enquiries and matters related to funding issues must be made to Commercial Services Branch (*Payment Processing*).

17. ADMINISTRATION PROCEDURES

17.1. Information Systems

- 17.1.1. The Department, in conjunction with Fujitsu Services, has developed a software package Trainee Management System (TMS) to assist Contractors in the administration arrangements for *Training for Success 2017*. It is linked to the Department's central Client Management System (CMS) database and will cater for an automated client registration process, with Contractors being linked electronically to CMS. Contractors should consult Annex 13 for the required IT specification to operate TMS.

17.2. Instructions for Completion of a Personal Training Plan

- 17.2.1. Following completion of the Hard Copy PTP at Annex 1, Contractors must enter certain information from the Hard Copy PTP into the Electronic PTP in TMS as **described in the TMS User Manual**.

17.3. Equal Opportunities Monitoring

- 17.3.1. To facilitate the monitoring of Department's Equality Policy, the Department is committed to delivering its services and provisions in a way which aims to ensure that they are open to all, irrespective of community background, gender, marital status, disability or race, political opinion, age and dependency status. An essential aspect of the Department's Equality Policy is the monitoring of applicants and participants in the various Department provisions.
- 17.3.2. Information relevant to equal opportunities must be entered into TMS at the point of confirmed registration of a young person on *Training for Success 2017*. Although equal opportunities data in relation to community background is not viewable on an individual client record in TMS, reports relevant to community background, gender, marital status, disability or race or political opinion can be run in TMS to facilitate equal opportunities monitoring. It is important therefore that equality monitoring data is as accurate as possible in TMS. It must be noted that marital status is a mandatory field in CMS and this data must be

available at the point of confirmed registration of a participant on *Training for Success 2017*.

17.3.3. Disability recording on CMS

- 17.3.3.1. Within *Training for Success 2017*, some of the processes are automated. When a young person enters components of *Training for Success 2017*, the Disability category of a trainee may be already indicated by the Careers Adviser in CMS. A list of Disability/Special Needs codes is available at Annex 10. Contractors must note that Codes will appear on a Training Credit once entered in CMS.

17.4. Notifications of Leavers

- 17.4.1. Leaving processes under CMS are automated and information is transmitted from TMS to update CMS.
- 17.4.2. Contractors must ensure all avenues are explored to determine the destination of leavers before using the “Destination Not Known” code.

17.5. EMA and Recording Attendance

- 17.5.1. The EMA in respect of a *Training for Success 2017* participant is based on the daily attendance rate less deductions. Unauthorised absences are deducted automatically by TMS, based on confirmed attendance details input by the Contractor to TMS. Unauthorised absences will be deducted for both half and full days.
- 17.5.2. Contractors must ensure that detailed weekly attendance records are maintained for each participant and inputted promptly and correctly into TMS. Contractors must retain copies of attendance records for inspection purposes.

- 17.5.3. On entering times of reduced attendance, the Contractor will be prompted to enter details regarding the request. Contractors must use the following headings: “Reason/Evidence” and “Timescale for reduction in hours”. This request will be automatically generated, once the reduced hours are entered into the TMS attendance facility.

17.6. Lodging Allowance Claim

- 17.6.1. As per section 7.5.1, form TfS16 must be completed and forwarded to the Department: csb.payments@economy-ni.gov.uk.

17.7. Application for Childcare Payments

- 17.7.1. Contractors must issue an application for childcare payments (form TfS 4) to a *Training for Success 2017* participant who may be eligible for financial assistance towards the cost of childcare. Contractors must seek prior approval from Commercial Services Branch for childcare costs:
- 17.7.1.1. in excess of £50 per child per week, including VAT; and
 - 17.7.1.2. in respect of a child in receipt of Disability Living Allowance or who is registered blind, and for who care is essential.
 - 17.7.1.3. Sections A, B, C and D of the form must be completed by the participant, the childminder, and the Contractor respectively and Section E by Commercial Services Branch where the claim exceeds £50 per week.

17.8. Disability Support Arrangements

- 17.8.1. Where a participant’s PTP specifies that Disability Support is required, the Contractor must arrange for that support to be provided by the most appropriate DSS, if this support has not already been arranged through Pre-Entry Training Support referral.

17.8.2. The Contractor must complete Form TfS 3 (i) providing details of Disability Support required. This form will be passed to the Disability Support Contractor who will arrange to deliver the required support. The Department has separate arrangements in place with DSSs and will arrange payment directly to the DSS for services rendered.

17.8.3. Any request by a Contractor for disability funding must be approved in CMS by Careers Service personnel before any additional, disability related payments can be generated. Once approval is recommended on CMS, a record is held against the client's details on CMS as to when the recommendation was made and by whom. TMS will also be updated with the appropriate approval details.

17.9. Movement within Training for Success 2017 Strands

17.9.1. Any movement to a different strand under *Training for Success 2017*, whether regression or progression, must be amended by obtaining a revised Training Credit from Careers Service and creating a new Progression PTP on TMS. The Progression PTP must show the new strand and the date of progression as set out on the revised Training Credit including revised training level and/or occupational area (*if applicable*) being pursued.

17.10. Progression from TfS 2017 to ApprenticeshipsNI

17.10.1. To progress from *Training for Success 2017* to ApprenticeshipsNI the participant must satisfy the eligibility criteria for Level 2 / Level 3 ApprenticeshipsNI (see section 4.3 of the ApprenticeshipsNI 2017 Operational Requirements). Contractors must terminate the participant from *Training for Success 2017* on TMS, using the appropriate termination code. TMS must then be updated in line with the *ApprenticeshipsNI 2017* Operational Requirements.

17.11. Enforced Interruption to Training

17.11.1. A participant whose period of training is interrupted due to pregnancy, custodial sentence, care order or any sudden unforeseen event which prevents

participation in training, (excluding sickness and accidents), must be withdrawn from training. All payments/claims should cease. Where training has been withdrawn and the young person is in receipt of benefits from the Department for Communities, the young person must notify their Social Security Office/Jobs and Benefits Office of any change in their circumstances.

- 17.11.2. Where training has been withdrawn, the Contractor must notify the local Careers Service via Form TfS 10A, which must also be completed and sent to the local Careers Resource Centre / Jobs and Benefits Office or JobCentre. The Contractor must also complete TMS/CMS processes for notification of 'Enforced Interruption to Training'. The termination code 'Enforced Interruption' plus an actual end date for the participant must be entered into TMS. When the leavers report is produced in the Careers Resource Centre / Jobs and Benefits Office or JobCentre via the Non-Immediate Printing facility, the paper record must be noted accordingly.
- 17.11.3. When the participant resumes training, a Rejoining Training Credit must be requested from Careers Service using Form TfS 10B. On receipt of the Rejoining Training Credit a Rejoining Start Code must be completed and forwarded via TMS/CMS processes to the local Careers Resource Centre / Jobs and Benefits Office or JobCentre

17.12. Recording Attendance

17.12.1. Hard Copy Timesheets Not Available

- 17.12.1.1. In connection with recording attendance the contractor can not submit timesheets on TMS, unless original timesheets (TfS 7A / 7B) have been received by the contractor

17.12.2. Absence Recording

- 17.12.2.1. The TMS termination code "Enforced Interruption" to training must **not** be used in cases of sickness or accidents. In circumstances where the duration of an

illness is more than 15 days, the termination code “Sickness” must be entered into TMS.

17.13. Returning to Training after Absence due to illness

In circumstances where a participant has been withdrawn from training because of extended sickness, the participant must be given the opportunity to return to training when they have recovered. The Contractor must complete form TfS 15 and forward to the mailbox of their local Careers Office, prior to re-entry, even if over 18 years of age (i.e. the period from the participant's start date, less the period for which the participant has received payment of EMA prior to withdrawal). The Start Code in these circumstances for CMS is “Rejoining”. For example: a participant who completed 56 weeks of training in a 104 week programme before going absent as a result of sickness and received EMA for the first three weeks of sickness will, upon re-entry, be entitled to 45 weeks of training [i.e. 104 weeks less 59 (56 weeks + 3 weeks)].

17.14. Leaving Programme – Update/completion of PTP

17.14.1. To enable accurate target measurement of the Programme, Contractors must complete the following data fields in the PTP on completion of training. It is stressed Contractors will not be able to enter the end date of the participant in TMS until these data entries have been completed:

17.14.1.1. All Targeted Qualifications Achieved + Essential Skills or Exemption (Y / N Number / Level(s) Achieved L1, L2 or L 3;

17.14.1.2. Size Achieved (Award Certificate or Diploma);

17.14.1.3. Total Credits Achieved / Total Credits Not Achieved. If all credits have been achieved an entry of 0 at Total Credits Not Achieved is appropriate;

17.14.1.4. Achieved Date or Not Achieved Date;

- 17.14.2. If the participant achieved their qualification, the date of achievement is the date confirmed by the Awarding Body. If the participant did not achieve his/her qualification, the Contractor must enter the date the participant left the programme in the column headed “Not Achieved Date”.

17.15. Recording and Reporting of Accidents

- 17.15.1. Contractors are responsible for investigating accidents whether they occur on their own premises or on those of Training Partners.
- 17.15.2. “Reportable” accidents must be reported immediately to the Department for the Economy Health & Safety Executive for N. Ireland on form NI2508 entitled 'Reporting of an Injury or Dangerous Occurrence' which can be downloaded. Contractors must comply with any statutory requirements to notify the relevant enforcing body of fatalities, certain injuries, diseases or dangerous occurrences. Full details are given in Guidance Booklet RIDDOR (NI) 97. The Guidance Booklet and form NI2508 may be downloaded from;

<https://www.hseni.gov.uk/content/report-incident> or contact mail@hseni.gov.uk.
- 17.15.3. Contractors must ensure that all “reportable” accidents are recorded on the TMS system. Details of where the information should be inputted, can be found under the TMS structure as follows:
- 17.15.3.1. Management;
- 17.15.3.2. Client;
- 17.15.3.3. Accidents (tab);
- 17.15.4. TMS Development Unit, (based at Information Technology Branch, Room 87, Department for the Economy, Netherleigh, Massey Avenue, Belfast BT4 2JP, telephone 028 9052 9811) is also responsible for the design, testing, and implementation of any software packages to facilitate the submission and processing of claims, as well as providing ad hoc training and ongoing support for all Contractors’ staff. A Help-Desk facility is provided for Contractors in relation to software and business issues, and the team involved will refer

queries of a more technical nature to the Fujitsu Support Team for resolution. The Help-Desk Team will assist with the development of a range of standard management information reports to support *Training for Success 2017*. These reports contribute to key statistical data published in relation to the provision.

17.16.Role of Quality Improvement Team

- 17.16.1. The Department's Quality Improvement Team (QIT) has responsibility for monitoring and reporting across a range of Departmental programmes including *Training for Success 2017*, ApprenticeshipsNI 2017 as well as other Departmental training and European Social Funded programmes.
- 17.16.2. In *Training for Success 2017*, the Quality Improvement Team works with the Education Training Inspectorate (ETI) to ensure that an inspection schedule for all Training Contractors is agreed annually and that the inspection activities meet the requirements of the Department.
- 17.16.3. QIT attends ETI post-inspection feedback sessions, where a full inspection or follow-up inspection has occurred. The team has responsibility for liaising as appropriate with the Inspectorate to ensure that all areas identified for improvement through inspection are acted upon in an appropriate timescale. Where inspection identifies that there are ongoing problems and that these have not been remedied after the standard cycle is complete, QIT will report this to Commercial Services Branch for contractual consideration.

ANNEXES

LIST OF ANNEXES

Annex 1	Personal Training Plan (PTP) ¹
Annex 2	TfS Induction Contractor Checklist
Annex 3	Personal Training Plan Contractor Checklist
Annex 4	Delivery Agreements. Completion of Feedback/Evaluation
Annex 5	Useful Contacts
Annex 6	Disability Support Contractors
Annex 7	Disciplinary Letters
	7a Specimen Verbal Warning Letter
	7b Specimen First Written Letter
	7c Specimen Final Written Warning Letter
	7d Specimen Suspension/Dismissal Letter
Annex 8	Participant Enrolment Form/Equality Monitoring Form
Annex 9	TOC/RRQ Mappings
Annex 10	Disability/Special Needs Codes
Annex 11	Participant Handbook
Annex 12	Guidelines on Residential Training
Annex 13	IT Requirements
Annex 14	Participant Privacy Notice

¹ Including Explanatory Notes

PARTICIPANT DETAILS

Name	<input type="text"/>	Address	<input type="text"/>
Client Reference No ¹	<input type="text"/>		<input type="text"/>
DOB ²	<input type="text"/>	Postcode	<input type="text"/>
Gender	<input type="text"/>	Home Tel No	<input type="text"/>
Unique Learner No. ³	<input type="text"/>	Mobile Tel No	<input type="text"/>
Disability ⁴	Yes No	Contact Tel No	<input type="text"/>
Parent/Guardian	<input type="text"/>	E-mail Address	<input type="text"/>

STRAND DETAILS

Strand Name ⁵	<input type="text"/>	Strand Duration	<input type="text"/>
Start Date	<input type="text"/>	Expected End Date	<input type="text"/>
Hours of Attendance	<input type="text"/>		<input type="text"/>

PARTICIPANT BACKGROUND ⁶

Qualifications & Achievements

Qualifications/Awards	Awarding Organisation	Level/ Grade	Date	Copy Received (yes/no)

Previous Work Experience/Employment

Employer	To	From	Duties

Hobbies and Interests

Career/Employment Objectives

RESULTS OF INITIAL AND DIAGNOSTIC ASSESSMENTS ⁷

Essential Skills

Literacy	Reading	Writing	Speak/Listen
----------	---------	---------	--------------

Competency Level/Development Considerations			
Numeracy	Number	Handling Data	MSS
Competency Level/Development Considerations			
ICT	Keyboard Skills	Programs/Applications	Hardware
Competency Level/Development Considerations			

Occupational Skills ⁸

Skill	No Development	Limited Development	Developed	Well Developed
	1	2	3	4
	1	2	3	4
	1	2	3	4
	1	2	3	4
	1	2	3	4
	1	2	3	4

Learning needs / identified barriers to employment from the baseline interview ⁹

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Comment (Summative evaluation of personal profile including preferred learning style/s and additional learning needs) ¹⁰

Annex 1 (cont)

TRAINING ARRANGEMENTS			
Targeted Qualifications ¹¹			
Curriculum Area	Target Qualification Name	Qualification Reference No.	Credit Value
Professional & Technical			
Employability			

Personal & Social Development				
			Tutor/ Location	Target Date
Milestone Targets ¹²		Delivery Method		
1				
2				
3				
4				
5				
6				
7				
8 (Full Achievement)				

Overall course of learning on *Training for Success 2017*

Qualification Name	Qualification Reference No.	Level	Credit Value
			Total credit value
Contribution to relevant ApprenticeshipsNI 2017 Level 2 competence based qualification (where appropriate) ¹⁴			

Essential Skills¹⁵

	RRQ	Target Level	Tutor/ Location	Target Date
Literacy				
Numeracy				
ICT				

Other Enhancements/Qualifications/Courses ¹⁶

Qualification Unit Title	RRQ	Tutor	Location	Target Date

Other Support arrangements including Disability Support and additional learning support.¹⁷

Descriptor	Responsible	Desired Outcome

Job Preparation/Job Search

Qualification/Objectives	Tutor	Target Date

Transferable Skills

Short term targets to be met prior to being considered for employment	No Development	Limited Development	Developed	Well Developed
	1	2	3	4
	1	2	3	4
	1	2	3	4
	1	2	3	4
	1	2	3	4
	1	2	3	4
	1	2	3	4
	1	2	3	4

WORK EXPERIENCE/PLACEMENT (See Delivery Agreement)

Employer		Start Date	
Contact		Duration	

STATEMENT OF PARTICIPANT'S TRAINING OBJECTIVES

Under the *Training for Success* arrangements I

PTP REVIEW

Participant's progress towards the targets and objectives of this *Training for Success* PTP will be reviewed at four and six weekly intervals depending on the strand undertaken by the participant.

Participant		Date	
Organisation representative		Date	

Explanatory Notes on Completion of PTP

1. Client Reference Number – Insert Client Reference Number generated after registering client on Trainee Management System (TMS).
2. Client Date of Birth – Training Contractors must evidence client date of birth to confirm eligibility for the programme.
3. Where training is being undertaken within Training for Success 2017, participants must have a Unique Learner Number (where one does not already exist) drawn down from the Learning Records Service and which must be recorded on TMS and the Personal Training Plan. Participants must also be registered with the relevant Awarding Bodies within the timeframe specified in these Requirements.
4. Does the participant have a disability as defined by the Disability Discrimination Act 1995?
5. Insert the title of the training strand being undertaken, Skills for Your Life, Skills for Work Level 1 or Skills for Work Level 2.
6. Participant Background - to include;
 - school/college attended;
 - all qualifications entered for, all qualifications achieved during formal education, including Key Skills awards and or qualifications gained through the Entitlement Framework;
 - previous work experience either through school/college work placement, summer jobs etc;
 - participant hobbies interests;
 - employment objectives – record participant's job aspirations/objectives.
7. Essential Skills - Record results of initial and diagnostic assessment. Where qualifications entered for or previously achieved indicate a competency Level higher than the initial diagnostic assessment, the Training Contractor must outline the steps to be taken to return participant to his/her previous Level of achievement.
8. Occupational Skills – Contractors must record the results of initial assessment of participant occupational skills reflecting the range of development assessed from No Development through to Well Developed.
9. Contractors must insert details of participant learning needs and /or identified barriers to employment from the baseline participant interview.
10. Contractors must insert a summative evaluation of participant personal profile including preferred learning style/s and additional learning needs.
11. Contractors must insert the Targeted Qualifications in each curricular area to include the Target Qualification Name, Qualification Reference Number and Qualification Credit Value as drawn directly from the Register of Regulated Qualification.
12. Milestone Targets – Contractors must insert the anticipated Milestone Targets, indicating target, how training to meet target is to be delivered, where and by whom and the target date for completion of each Milestone Target.
13. Contractors must insert summary of overall course of learning on *Training for Success 2017*.
14. Contractors must insert the contribution to the relevant ApprenticeshipsNI Level 2 Framework of the competence based qualification being followed, (where appropriate).
15. Contractors must insert the targeted Level of Essential Skills. The targeted Level must be at least one Level higher than that originally assessed or achieved by the participant. The Department reserves the right to recoup any monies paid in respect of Essential Skills ORF where evidence subsequently emerges of prior achievement at the same Level.
16. Contractors must insert any additional enhancements, qualifications, courses to be included in training.
17. Contractors must record all Support Arrangements (including disability support and additional learning support) which will be put in place to address participant learning/training needs.

Participant Review and Monitoring Form				
Targeted Qualifications	Review		Targets	
	Date		Date	
Professional & Technical Qualifications(s) <small>Inc Qualification No.</small>				
Essential Skills				
Personal Development/ Employability <small>Inc Qualification No.</small>				
Other				
Action required				

Participant, Employer and Training Contractor MUST sign below. A new form must be used for each review.

Participant		Date	
Employer		Date	
Training Contractor Representative		Date	

Please list indicators that are appropriate () insert organisation
name and occupational area ().

Information about *Training for Success 2017*

- 1) I have received a copy of the Participant Handbook/Course Handbook and Privacy Notice. ☐
- 2) I have received information on the terms and conditions of the programme, including hours of attendance, holiday entitlement, absence due to sickness or unauthorised absence, travel conditions and allowances and financial incentives for participants. ☐
- 3) I have received information on the relevant curriculum content of my intended programme of study, progression routes and possible career opportunities. ☐
- 4) I have received information and instruction on best practice regarding safe working practices in my chosen occupational area. ☐
- 5) I have received information on my responsibilities as a participant under Training for Success (2017). ☐
- 6) I have received information on the process involved in creating a Personal Training Plan (PTP), the purpose of the PTP and its role throughout my time on Training for Success (2017). ☐
- 7) I have received information on the Progress File, its purpose and content. ☐
- 8) I have received information on the process involved in the initial assessment of my Essential Skills. ☐
- 9) I have received written information and have access to clear written procedures on grievances and disciplinary matters, and have been informed of those procedures at the induction. ☐

Information about the Training Contractor

- 10) I have received an introduction to the Contractor's premises, including emergency exits, fire drill, assembly points and domestic facilities. ☐
- 11) I have received information on the contractor's complaints and formal appeals procedure including information on 'whistle blowing' procedures and on how the participant can escalate a complaint to the Department. ☐
- 12) I have received information on the support services available to me. ☐
- 13) I have received information from the Training Contractor providing me with the name and contact details of a nominated key contact within the Contractor's organisation. ☐

14) I have received information containing the name and contact details of my Departmental Careers Adviser who will provide advice and guidance during my time on programme.

☐

15) I have received information on how the contractor complies with Section 75 of the NI Act 1998 and current Safeguarding legislation.

☐

When participant enters work placement, further induction is to be completed.

Participant's Name _____

Participant's Signature _____

Date _____

Personal Training Plan, Contractor Checklist Annex 3

Initial Submission	Circle One	
Has the initial quantitative PTP been submitted on TMS to enable it to be Approved/Rejected?	Yes	No
Has the PTP been submitted outside the timescale, in which case it will be Validated/Rejected?	Yes	No
Have all sections been completed to reflect unique participant requirements?	Yes	No
<ul style="list-style-type: none"> • Careers/Employment Objectives? • Training Objectives? • Skills? • Other Enhancements? • Training Arrangements? • Support? • Milestones 	Yes	No
Does the PTP reflect the outcomes of Initial Assessment/ Induction Activities?	Yes	No
Have Essential Skills Initial Assessment results/targets been recorded?	Yes	No
Are all the milestones relevant to individual participant needs?	Yes	No
Does the PTP reflect your own notes/information on this participant?	Yes	No
Have all Stakeholders' programme inputs been included in the PTP (e.g. work placement provider, training staff etc...)?	Yes	No
Are there SMART targets for each objective to be achieved?	Yes	No
Have monitoring arrangements been included for the achievement of objectives?	Yes	No
Has an assessment for specialist support been completed?	Yes	No
Has a referral to a Specialist Support Provider taken place, if required?	Yes	No
Do the work experience details reflect the participant's employment objectives?	Yes	No
Is the duration of work experience outlined with anticipated increase?	Yes	No
Does the PTP clearly demonstrate the necessary training arrangements to enable the participant to achieve their overall programme objectives?	Yes	No
Ongoing Review		
Is the PTP unique for each participant and not the same as every other one generated within the vocational area / your organisation?	Yes	No
Does the PTP need to be resubmitted, if so, has additional content been agreed/included?	Yes	No
Can resubmission allow approval to take place?	Yes	No
Has the PTP been updated regularly throughout the programme?	Yes	No
When milestones have been achieved has the PTP been updated?	Yes	No
Has the PTP been updated before Progression Interview takes place?	Yes	No

1. Employer Details

Company Name (Print) _____

Nature of Business _____

Address: _____

Postcode _____

Telephone Number _____

Name of Contact (print) _____

Position _____

Contact for Participant _____

Position _____

Duration of Placement _____

Insurance Details (To include level of Cover/Policy No)?

Provider

Expiry Date

2. Training for Success 2017 Participant Details

Name (Print) _____

Address _____

Postcode _____

Date of Birth _____

National Insurance Number _____

Contact Number _____

3. Contractor Details

Contractor _____

Address _____

Postcode _____

Telephone Number _____

Contact Name (print) _____

4. Employer Responsibilities

- 4.1 To provide the experience, facilities, and training necessary to achieve the training objective as discussed and agreed with the *Training for Success* participant and specified in the Personal Training Plan.
- 4.2 To comply with all relevant legal and contractual responsibilities in respect of health and safety, and to take steps to ensure equality of opportunity, regardless of community background, gender, marital status, disability, race, political opinion, sexual orientation, age, or dependents.

5. *Training for Success* 2017 Participant Responsibilities

- 5.1 To discuss and agree the Personal Training Plan with the Contractor and, on a regular basis, jointly review progress towards the achievement of objectives.
- 5.2 To be diligent and punctual in work and training; and to strive consistently and conscientiously towards achieving each of the objectives set out in the Personal Training Plan.
- 5.3 To behave at all times in a responsible manner and in accordance with health and safety requirements; and to promote the best interests of the employer.
- 5.4 To commence/continue the completion of a personal Progress File and demonstrate commitment to the principles of identifying and recording achievement throughout the *Training for Success* training.

6. Contractor Responsibilities

- 6.1 To monitor the training of the *Training for Success* participant and confirm that the Contractor's quality assurance requirements, including health and safety obligation, are being met.
- 6.2 To assist the *Training for Success* participant to identify and record their achievement throughout the work experience period.

Employer - Skills Activities (on-the-job training)
Attendance Arrangements

Training for Success Participant – Experience/Outcomes

Contractor - Learning Activities (off-the-job training)
Attendance Arrangements

We, the undersigned, have read this Agreement and accept the terms contained within it. It is understood that the Agreement does not constitute the basis of a contract of employment between any of the participating persons or organisations. A copy of this Agreement will be held by each of the undersigned

Signed _____ Name (Print) _____ Date _____
(Employer)

Signed _____ Name(Print) _____ Date _____
(Participant)

Signed _____ Name(Print) _____ Date _____
(Contractor Authorised Signatory)

Delivery Agreement
Completion of Placement Feedback/Evaluation

Employer	Please comment on Participant
Objectives Achieved	
Punctuality	
Attitude/Motivation	
Working Relationships	
Evaluation (Participant/Contractor)	

<i>Training for Success</i> Participant	Please comment on your placement
My Workplace Experience	
My Punctuality	
My Attitude/Motivation	
My Working Relationships	
My Evaluation (Placement/Contractor)	

Contractor	Future activities for participant	
Employer - Sign/Date	Participant- Sign/Date	Contractor- Sign/Date

Useful Contacts

Annex 5

NAME	ADDRESS	TEL	FAX	WEB
Equality Commission for Northern Ireland	Information & Advice Team Equality House 7-9 Shaftesbury Square Belfast	(028) 9050 0600	(028) 9033 1544	www.equalityni.org
DfE Information Management & Communications Branch	DfE Ground Floor Adelaide House 39-49 Adelaide Street Belfast BT2 8FD	028 9025 7474		www.economy-ni.gov.uk peter.hodgett@economy-ni.gov.uk
Council for the Curriculum, Examinations and Assessment (CCEA)	CCEA Regulation 29 Clarendon Road Clarendon Dock Belfast BT2 8FD	(028) 9026 1200	(028) 9026 1234	ccearegulation@ccea.org.uk
DfE Commercial Services Branch	1 st Floor Adelaide House, 39-49 Adelaide Street Belfast BT2 8FD	028 9025 7671 <i>Payment Processing</i> 028 9025 7786 <i>Contract Compliance</i>		csb.payments@economy-ni.gov.uk
DfE Training Programmes Branch	5 th Floor Adelaide House 39-49 Adelaide Street Belfast BT2 8FD	(028) 90905212		trainingforsuccess@economy-ni.gov.uk

Contracted Disability Support Contractors

NAME	CONTACT	ADDRESS	TELEPHONE
Disability Action	Laura McCartney	Portside Business Park 189 Airport Road Belfast BT3 9ED	Tel: (028) 9029 7880 Fax: (028) 9029 7881 lauramccartney@disabilityaction.org
Sensory Learning Support	James Somerville	85 Jordanstown Road Newtownabbey BT37 0QE	(028) 9086 3541 Mob: 07837516686 mail@slsservice.org.uk
The Cedar Foundation	Mr Kieran Molloy	1a Woodside Road Industrial Estate Woodside Road Ballymena BT42 4QJ	(028) 2565 9111 K.Molloy@cedar-foundation.org
Ulster Supported Employment Ltd. (USEL)	Mr Arthur Savage	182-188 Cambrai Street Belfast BT13 3JH	Tel: 028 9035 6600 Fax: 028 9035 6611 Mob: 07739348817 asavage@usel.co.uk
Clanrye Group Ltd	Mr Liam Devine	Slieve Gullion Forest Park 89 Dromintee Road, Killeavy Newry BT35 8SW	Tel: 028 30849220 liam.devine@clanryegroup.com

Disciplinary Letters

1.1.1. Specimen Record of Verbal Warning

Annex 7a

Verbal Warning

This is to confirm that an oral warning was given to you on and has been noted on your training record.
This warning was in respect of (here detail reason for warning).

It is hoped that there will be no need for further action, but if there is not an immediate and sustained improvement in your conduct/performance you will receive a written warning, as detailed in the disciplinary procedures. If your conduct/performance remains satisfactory over the next 3 months the copy of this note will be removed from your training record.

Signed on behalf of the Contractor

.....

.....

(Name of Contractor)

I acknowledge receipt of this confirmation of the verbal warning given to me on and understand its implications.

Signed:

(Participant)

Date:

Witnessed by:

1 COPY TO PARTICIPANT

1 COPY TO PARTICIPANT'S RECORDS

1 COPY TO CAREERS ADVISER

Specimen First Written Warning

TO: DATE:

(Name of Participant)

FIRST WRITTEN WARNING

This is a written warning about your conduct/performance and a copy of it has been placed on your training record. It is issued to you because (here detail reason for warning).

You are warned that if there is not an immediate and sustained improvement in your conduct/performance you will receive a final written warning, as detailed in the disciplinary procedures. It is hoped, however, that there will be no need for further action and if your conduct/performance remains satisfactory over the next 3 months the copy of this warning will be removed from your training record.

Signed on behalf of the Contractor

.....

.....

(Name of Contractor)

I acknowledge receipt of this written warning and understand its implications

Signed:

(Contractor)

Date:

Witnessed by:

1 COPY TO PARTICIPANT**1 COPY TO PARTICIPANT'S RECORDS****1 COPY TO CAREERS ADVISER**

Specimen Final Written Warning

TO: DATE:

(Name of Participant)

FINAL WRITTEN WARNING

This is a final written warning about your conduct/performance and a copy of it has been placed on your training record. It is issued to you because (here detail reason for warning).

You are warned that if there is not an immediate and sustained improvement in your conduct/performance a recommendation will be made to the Department for The Economy that you should be dismissed from *Training for Success*. It is hoped that there will be no need for such action and if your conduct/performance remains satisfactory over the next 3 months the copy of this warning will be removed from your training record.

Signed on behalf of the Contractor

.....

.....

(Name of Contractor)

I acknowledge receipt of this written warning and understand its implications

Signed:

(Participant)

Date:

Witnessed by:

1 COPY TO PARTICIPANT**1 COPY TO PARTICIPANTS'S RECORDS****1 COPY TO CAREERS ADVISER**

Specimen Suspension/Dismissal - Letter

Dear

I regret to inform you that it has become necessary to end your period of training at
and you will be suspended* from training for a period of (2 weeks / 4 weeks) *delete as appropriate*
and you will be dismissed* from training

Insert Reason.....

with effect from due to

Because of this you will not be permitted to re-enter training under *Training for Success* until a period of *delete as appropriate*
2 weeks/4 weeks has elapsed since your last day of training. If, at that stage, you are eligible to rejoin and wish to do so, you
will be required to sign an undertaking that you will abide by the normal code of conduct and attendance stipulated by the
Contractor.

You have a right to appeal against this decision. If you wish to do so, you must write to the Head of Training Programmes
Branch, Department for The Economy, Room 307, 5th Floor, Adelaide House, 39-49 Adelaide Street, Belfast, BT2 8FD **stating
the full grounds of your appeal**. Your appeal must be received within 21 days of issue of this letter.

I have arranged for you to see a Departmental Careers Adviser at

.....

on at **am/pm**.

Yours sincerely

1 COPY TO PARTICIPANT

1 COPY TO PARTICIPANT'S RECORDS

1 COPY TO CAREERS ADVISER

Participant Enrolment/Equality Monitoring Form Annex 8

SKILLS
TO SUCCEED

TRAINING
FOR SUCCESS

Training for Success 2017

1. General Details

Name: _____

Address: _____

Post Code: _____ Telephone Number: _____

Contact Email: _____

National Insurance Number: _____

Date of Birth: _____ Age today: _____

Do you consider yourself: Male ☐ Female ☐

2. Personal Details

Which one of the following groups do you consider you belong to?

White	<input type="checkbox"/>	Black African	<input type="checkbox"/>	Bangladeshi	<input type="checkbox"/>
Chinese	<input type="checkbox"/>	Black Caribbean	<input type="checkbox"/>	Pakistani	<input type="checkbox"/>
Indian	<input type="checkbox"/>	Black Other	<input type="checkbox"/>	Irish Traveller	<input type="checkbox"/>
Mixed Ethnic Group	<input type="checkbox"/>	Other Ethnic Group	<input type="checkbox"/>		

What is your country of birth?

a) UK (including Northern Ireland, England, Scotland and Wales) ☐
b) Other ☐

Do you belong to any of the following groups? (please tick all that apply)

Living in a Jobless Household ☐ Living in a Jobless Household with dependent children ☐
Single Adult Household with dependent children ☐ Migrant ☐

Homeless or affected by housing exclusion

Living in a Jobless Household: A household where no member is employed.

Living in a Jobless Household with dependent children: A household where no member is employed and at least one resident is aged 17 years or under, or is aged 18-24 years if inactive and living with at least one parent.

Single Adult Household with dependent children: Where the household with dependent children, includes only one person of 18 years of age or over.

Migrant: A migrant is someone of a foreign background who has resided, or expects to reside, in the UK for at least 12 months (one year).

Homeless or affected by housing exclusion: Someone who is either; Roofless (e.g. living rough or in emergency accommodation); Houseless (e.g. in accommodation for the homeless, women's shelters, in accommodation for immigrants, etc.); In insecure accommodation (e.g. people living in insecure tenancies, under threat of eviction or violence); or In inadequate housing (e.g. living in unconventional dwellings such as caravans without utilities, or living in overcrowded accommodation).

Do you have a disability or health condition?

Yes

☐

No

☐

Disability or health condition refers to participants who have a current disability covered by the 1995 Disability Discrimination Act, defined as a disabled person as someone who has a physical or mental impairment that has a substantial and long-term adverse effect on his or her ability to carry out normal day-to-day activities for a period of at least 12 months.

3. Length of Time Out of Work

Please tick the relevant box to indicate which of the following describes your economic status prior to starting the project:

- **Inactive but in education or training?** ☐
- **Unemployed?** ☐
- **Inactive but not in education or training?** ☐

Inactive in education and training – refers to undertaking either education or training prior to starting. This category includes those who start during the week commencing the first Monday in September. If you leave school in June you are not eligible to claim Jobseeker's Allowance until the first Monday in September so up until then you would still be considered to be in education or training.

Unemployed – refers to not working but are looking for work prior to starting. This category excludes those school leavers who start training during the week commencing the first Monday in September.

Inactive not in education and training – refers to those who were not looking for work prior to starting due to for example illness or a family commitment.

How long have you been out of work?

Less than 6 months ☐ 6 – 12 months ☐ Over 12 months ☐

Are you a new entrant to the labour market? Yes ☐ No ☐

New Entrants: Those who have never worked in a full time permanent position and who have never looked for such a position, for example school leavers.

Are you a returner to the labour market? Yes ☐ No ☐

Returners: Those who have worked in the past but who were absent from the labour market, not working and not looking for work, for a period of time for any reason, for example sickness or training.

4. Qualifications

What is the highest qualification (or equivalent) that you held on joining the programme?

Below NVQ Level 1	<input type="checkbox"/>	NVQ Level 1	<input type="checkbox"/>	NVQ Level 2	<input type="checkbox"/>
NVQ Level 3	<input type="checkbox"/>	NVQ Level 4	<input type="checkbox"/>	No qualifications	<input type="checkbox"/>

Other – Please detail

Please see ‘Guidance Notes’ for clarification

PARTICIPANT DECLARATION

I declare that the details given on this form are true to the best of my knowledge.

Signed: _____ Date: _____

Equality Monitoring

The following data is also captured in respect of the Department for the Economy equality monitoring policy. Completion of information is voluntary - Personal details will be treated in strict confidence and the information provided will **NOT** be used for any purpose other than the monitoring described above.

What is your Marital Status?

Divorced ☐ Living with Partner ☐ Married ☐
Separated ☐ Single ☐ Widowed ☐ Not Stated ☐

Number of dependants? ☐

If so, please list below.

Name	Date of Birth	Age	Sex
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

What is your current political opinion?

Nationalist ☐ Unionist ☐ Other ☐

What is your religious affiliation?

Protestant ☐ Roman Catholic ☐
Other ☐ Unknown/Refused ☐

My sexual orientation is towards someone:

Of the same sex ☐ Of the opposite sex ☐ Of the same sex and of the opposite sex ☐

Guidance Notes

The information collected in this enrolment form is required to enable the Department for Economy to satisfy the statutory requirements of Commission Regulation (EC) No. 1304/2013. The Department collects information from its customer in order to facilitate the delivery of its services. The information we collect about you will depend on the nature of your business with us and may be used for any of the Department's legitimate purposes.

Information held by us may be used to check information provided by you, or information about you that has been provided by a third party. **We may get information about you from certain third parties, or give information to them in order:**

- **To check the accuracy of information;**
- **To prevent or detect crime or to protect public funds in other ways;**
- **To protect public funds;**
- **For research and statistical purposes; or**
- **For other reasons permitted by law.**

These third parties may include other government departments and agencies, authorities administering social security, employers, educational bodies, academic bodies, research providers, health service providers, law enforcement agencies, training providers, job brokers, partners or agents authorised by the Department to undertake any function on its behalf.

CONFIDENTIALITY STATEMENT

We will not disclose information about you to anyone outside the Department unless the law permits disclosure or unless we have your consent to do so.

The Department is the Data Controller for the purposes of the Data Protection Act 1998. As such the Department is responsible for ensuring security and accuracy of the personal data we hold. If you want to know more about what information we have about you, or the way we use such information, please contact us.

COMPLETION INSTRUCTIONS

1. GENERAL DETAILS

Please include the following details.

- Your name, address, postcode, telephone number and contact email address.
- Your National Insurance number
- Your date of birth and age at enrolment
- Your gender

2. PERSONAL DETAILS

Annex 1 of Commission Regulation (EC) No 1304/2013 requires specific information to be collected on each individual that participates in the Northern Ireland ESF Programme. Some of the required information is included in this section.

Which one of the following groups do you consider you belong to?

Please tick the relevant box to indicate which groups you feel you belong to.

- White
- Black African
- Bangladeshi
- Chinese
- Black Caribbean
- Pakistani
- Indian
- Black Other
- Irish Traveller
- Mixed Ethnic Group
- Other Ethnic Group

(Section 75 of the Northern Ireland Act 1998 – Department for the Economy scheme)

What is your country of birth?

Please tick the relevant box to indicate which group you feel you belong to.

- UK (including Northern Ireland, England, Scotland and Wales)
- Other

Do you belong to any of the following groups?

Please tick relevant box if you feel you belong to any of the following groups;

Living in a Jobless Household: A household where no member is employed.

Living in a Jobless Household with dependent Children: A household where no member is employed and at least one resident is aged 17 years or under, or is aged 18-24 years who is inactive and living with at least one parent.

Single Adult Household with dependent children: Where the household with dependent children, includes only one person of 18 years of age or over

Migrant: A migrant is someone of a foreign background who has resided, or expects to reside, in the UK for at least 12 months (one year).

Homeless or affected by housing exclusion: Someone who is either; Roofless (e.g. living rough or in emergency accommodation); Houseless (e.g. in accommodation for the homeless, women's shelters, in accommodation for immigrants, etc.); In insecure accommodation (e.g. people living in insecure tenancies, under threat of eviction or violence); or In inadequate housing (e.g. living in unconventional dwellings such as caravans without utilities, or living in overcrowded accommodation).

Do you have a disability or health condition?

Please tick the relevant box to indicate if you have a disability or health condition.

Disability or health condition refers to participants who have a current disability covered by the 1995 Disability Discrimination Act, defined as a disabled person as someone who has a physical or mental impairment that has a substantial and long-term adverse effect on his or her ability to carry out normal day-to-day activities for a period of at least 12 months.

3. LENGTH OF TIME OUT OF WORK

Inactive in education and training – refers to undertaking either education or training prior to starting. This category includes those who start during the week commencing the first Monday in September. If you leave school in June you are not eligible to claim Jobseeker's Allowance until the first Monday in September so up until then you would still be considered to be in education or training

Unemployed – refers to not working but are looking for work prior to starting. This category excludes those school leavers who start training during the week commencing the first Monday in September.

Inactive not in education and training – refers to those who were not looking for work prior to starting due to for example illness or a family commitment.

New entrant to the labour market: Those who have never worked in a full time permanent position and who have never looked for such a position, for example school leavers.

Returner to the labour market: Those who have worked in the past but who were absent from the labour market, not working and not looking for work, for a period of time for any reason, for example sickness or training.

4. QUALIFICATIONS

What is the highest qualification (or equivalent) that you hold?

Please tick one of the boxes to show the highest Level qualification you have. The qualification you have received may be equivalent to a specific NVQ Level. Please use the table below to find out the Level of your qualification.

Level	NQF Level	ISCED Level	Academic NVQ qualification name	Vocational qualification name
Non-NVQ Level 0	Entry Level	1	RSA Word Power RSA Number Power CLAIT	
Level 1	NQF Level 1	2	GCSE/SCE/ O-Level grades below C (or fewer than 5 at grades A-C) CSE grades below 1 1 AS Level	BTEC/SCOTBTEC/SQA – First Certificate BEC/SCOTBEC – General Certificate/Diploma City & Guilds – Operative awards CPVE – Year 1 (technician) LCCI/RSA/PEI – Elementary/First Level RSA – Vocational certificate Foundation GNVQ/GSVQ NVQ/SVQ Level 1
Level 2	NQF Level 2	3	5 or more GCSE/SCE/ O-Level grades A-C CSE Grade 1 1 A Level pass	BTEC/SCOTBTEC/SQA – First diploma BEC/SCOTBEC – General Certificate/Diploma <i>with Credit</i> City & Guilds – Higher Operative/craft LCCI – Certificate/Second Level PEI – Stage 2

Level	NQF Level	ISCED Level	Academic NVQ qualification name	Vocational qualification name
			2 or 3 AS Levels	Pitman's – Intermediate Level 2 Diploma Certificate RSA – Diploma Intermediate GNVQ/GSVQ NVQ/SVQ Level 2 ECDL
Level 3	NQF Level 3	4	2 or more A Level passes 4 or more AS Levels	BTEC/SCOTBEC BTEC/SCOTVED/SQA – National OND/O TEC/SCOTEC – Certificate/Diploma City & Guilds – Advanced Craft LCCI – Third Level Diploma Pitman's – Level 3 Advanced Higher Certificate RSA – Stage 3 Advanced Diploma Advanced GNVQ/GSVQ Access to Higher Education Courses Advanced awards in ESOL and foreign languages NVQ/SVQ Level 3
Level 4	NQF Level 4	5	Teaching qualifications (including PCGE) First Degree	BEC/SCOTBEC/BTEC/SCOTVEC/SQA – HND/HNC TEC/SCOTEC – Higher Certificate/Diploma LCCI – Advanced Level RSA – Advanced Certificate/higher Diploma Diploma in Higher Education NVQ/SVQ Level 4

International Standard Classification of Education [ISCED]

ISCED 1 or 2 – Primary or lower secondary education; someone whose highest qualification is at either entry Level or Level 1 on the National Qualification Framework (NQF). Entry Level

qualifications are typically described as 'entry Level', e.g. entry Level certificates. Level 1 qualifications include GCSEs D-G grade, Level 1 NVQs and BTEC first diplomas and certificates.

ISCED 3 or 4 – Upper secondary or post-secondary education; someone whose highest qualification is at either Level 2 or 3 on the NQF. Level 2 qualifications include GCSEs at A*-C grade and Level 2 NVQs. Level 3 qualifications include A-Levels, Level 3 NVQs and BTEC diplomas, certificates and awards.

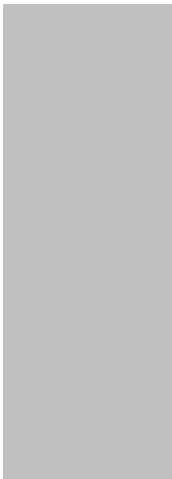
ISCED 5 to 8 – Tertiary education; someone whose highest qualification is at Levels 4-8 on the NQF, i.e. higher Level qualifications. These include HNCs, HNDs, Foundation Degrees, Bachelor's Degrees, Master's Degrees and Doctoral Degrees.

No education attainment – No essential literacy and numeracy skills

TOC	Fund Cat	TOC DESCRIPTION	RORQ REF	RORQ DESCRIPTION
A11	A	Personnel Administration	15.2	Administration
A12	A	Finance & Law	15.1	Accounting & Finance
A13	A	Ops Research / Stats	2.2	Maths & Statistics
A14	A	Business Studies	15.2	Administration
A15	A	Administration	15.2	Administration
A16	A	Reception / Secretarial	15.2	Administration
A21	A	Information Science	15.2	Administration
A31	A	Enterprise Training	15.2	Administration
A41	B	Computer Science	6.1	ICT Practitioners
A42	A	General Computing / DP	6.2	ICT for Users
A91	A	Management	15.3	Business Management
B11	A	Design	9.2	Crafts Creative Arts, Design
B12	A	Craft Production	9.2	Crafts Creative Arts, Design
B13	A	Photography / AVC	9.2	Crafts Creative Arts, Design
B14	A	Performing Arts	9.1	Performing Arts
B15	A	Other Art	9.2	Crafts Creative Arts, Design
B21	A	Report Writing	9.4	Publishing, Information Services
B22	A	Language Translation	12.2	Other Lang, Lit & Culture
B31	A	Teacher Training	13.1	Teaching & Lecturing
B32	A	Ed Guidance / Careers	13.1	Teaching & Lecturing
B41	A	Leisure	8.1	Sport, Leisure, Recreation
B91	A	Management / Adv Training	0	N/A
C11	A	Nursing Studies	1.2	Nursing & Medicine
C12	A	Med / Psych Diagnosis	1.1	Medicine & Dentistry
C13	A	Med & Tech	1.1	Medicine & Dentistry
C14	A	Non Surgical - Medical	1.1	Medicine & Dentistry
C15	A	Ambulance Officers	1.2	Nursing & Medicine

C21	A	Social Work / Care	1.3	Health & Social Care
C21	A	Childcare	1.5	Childcare
C31	A	Cleaning, Ward Aux	1.2	Nursing & Medicine
C32	A	Hair & Cosmetics	7.3	Service Enterprise
C33	A	Housekeeping/ Dom Help	1.2	Health & Social Care
C91	A	Management Adv Training	0	N/A
D11	A	Retailing	7.1	Retailing & Wholesaling
D12	A	Marketing / Advertising	15.4	Marketing & Sales
D13	A	Storage Warehousing	7.2	Warehousing, Distribution
D91	A	Management Adv Training	0	N/A
E11	A	Science & Maths	2.1	Science
E12	A	Scientific & Technician	2.1	Science
E13	A	Dietetics & Nutrition	1.3	Health & Social Care
E14	A	Env. & Public Health	1.3	Health & Social Care
E91	A	Management / Adv Training	0	N/A
F11	B	Food Prep & Cooking	7.4	Hospitality & Catering
F12	B	Food Service	7.4	Hospitality & Catering
F13	B	Hotel / Inn Keeping	7.4	Hospitality & Catering
F91	B	Management Adv Training	0	N/A
G11	B	Agriculture	3.1	Agriculture
G12	B	Horticulture, Gardening	3.2	Horticulture, Forestry
G13	B	Forestry	3.2	Horticulture, Forestry
G14	B	Veterinary	3.3	Animal Care, Vet Science
G91	B	Management / Adv Training	0	N/A
H11	A	Fishing	3.1	Agriculture
H91	A	Management / Adv Training	0	N/A
J11	A	Transport Operations	4.3	Transport Ops & Maintenance
J91	A	Management / Adv Training	0	N/A
K11	B	Design, Surveying & Val	5.2	Building & Construction
K12	B	Civil Engineering / Constrn	5.2	Building & Construction

K13	B	Building Brick/Pav/Stone	5.2	Building & Construction
K14	B	Building/Plumb/Heat/Refrig	5.2	Building & Construction
K15	B	Building Wood/Glaz/ etc	5.2	Building & Construction
K91	B	Management Adv Training	0	N/A
L11	A	Mining / Oil Extraction	0	N/A
L91	A	Management / Adv Training	0	N/A
P11	B	Motor Vehicle Repair	5	Transport Ops & Maintenance
P91	B	Management Adv Training	0	N/A
R11	B	Printing / Book Production	9.4	Publishing, Information Science
R91	B	Management Adv Training	0	N/A
T11	A	Security	1.4	Public Services
T91	A	Management / Adv Training		NA
W11	A	Processing	4.2	Manufacturing Technologies
X11	B	Mechanical Engineering	4.1	Engineering
X12	B	Electrical Engineering	4.1	Engineering
X13	B	Electronic Engineering	4.1	Engineering
X14	B	Planning & Qual Cntrl Eng	4.1	Engineering
X91	B	Management Adv Training	0	N/A
			3.4	Environmental Conservation
			3.4	Environmental Conservation
			5.1	Architecture
			5.3	Urban, Rural, Reg Planning
			8.2	Travel & Tourism
			9.3	Media & Communication
			10.1	History
				Archaeology / Archaeological
			10.2	Science
			10.3	Philosophy
			10.4	Theology & Religious Studies
			11.1	Geography
			11.2	Sociology & Social Policy



- 12.1 Lang, Lit & Culture of British Isles
- 12.3 Linguistics
- 13.2 Direct Learning Support
- 14.1 Foundations for Learning & Life
- 14.2 Preparation for Work
- 15.5 Law & Legal Services

Disability/Special Needs Codes Annex 10

Code	Disability Category
27	ALCOHOL DEPENDENCY
28	ADHD / ADD
29	ANXIETY DISORDER/PANIC ATTACKS
30	ANXS ANAPHYLAXIS
31	ARTHRITIS
32	ASPERGERS SYNDROME
33	AUTISM
34	BACK AND NECK INJURY
35	BIPOLAR / SCHIZOPHRENIA
36	CARDIOVASCULAR
37	CEREBRAL PALSY
38	CANCER
39	COMMUNICATION AND INTERACTION
41	DEPRESSION (SEVERE)
42	DIABETES
43	DOWNS SYNDROME
45	DYSCALCULIA
46	DYSLEXIA
47	DYSPRAXIA
48	EPILEPSY
50	HEAD / TRAUMATIC BRAIN INJURY
51	HEARING IMPAIRMENT
52	HYDROCEPHALUS / SPINA BIFIDA
54	ME / FIBROMYALGIA
55	MEDICAL CONDITIONS / SYNDROMES
56	METABOLIC DISORDERS
57	MILD / MODERATE LEARNING DISABILITY
58	MULTI SENSORY IMPAIRMENT
59	MULTIPLE SCLEROSIS
60	MUSCULAR DYSTROPHY
61	OBSESSIVE COMPULSORY DISORDER
62	OTHER

Code	Disability Category
63	RESPIRATORY CONDITIONS
65	PERSONALITY DISORDER
66	PHYSICAL OTHER
67	POST TRAUMATIC STRESS DISORDER
68	SENSORY
69	SEVERE LEARNING DISABILITY
70	SIGNIFICANT ACCIDENTAL INJURY
71	SOCIAL, EMOTIONAL & BEHAVIOURAL
72	VISUAL IMPAIRMENT
73	SPEECH AND LANGUAGE IMPAIRMENTS

Code	Special Needs Categories
1	LITERACY PROBLEMS
2	NUMERACY PROBLEMS
3	LITERACY AND NUMERACY PROBLEMS
4	LINGUISTIC PROBLEMS
5	BEHAVIOURAL PROBLEMS
6	SERIOUS BEHAVIOURAL PROBLEMS
7	LACKING MOTIVATION
8	IN CARE BACKGROUND
0	OTHER



Participants
Handbook - draft 6.p



Residential Training
Guidelines TfS 2017.pdf

IT Requirements for Training for Success. Annex 13

Updated Instructions to be issued and new insert at next revision.

ANNEX 14

PRIVACY NOTICE

The Department for the Economy (DfE) is one of nine government departments headed by Ministers of the Northern Ireland Executive. The Department's vision is a globally competitive economy, and its mission is to develop and implement agile policies and programmes which promote a competitive, sustainable and inclusive economy through investment in: skills; economic infrastructure; research and innovation; and, business development.

For the purposes of the Data Protection Act 1998, DfE is registered as a data controller for personal data processed by the Department and other third parties contracted to process data on our behalf. Our data protection registration can be viewed on the Information Commissioner's website at:

<https://ico.org.uk/esdwebpages/search>

Who will use your information?

Whoever is delivering this privacy notice to you will register and use your personal data. They will work for one of our contracted training organisations or a college, etc. and have permission to deliver the programme. Your information is input to a System that is held and accessible by DfE and will be held by the organisation you are enrolled with.

What information do we collect about you?

We collect information about you when you register with us through one of our contracted training organisations or through a college, etc.

The information collected will be your name, address and date of birth.

In addition, we will collect:

- Information about your initial assessment and induction on the programme.
- Information about your time on a programme including your progress.
- Information required to support and evidence the payment of any expenses and other allowances you have claimed under the programme.
- Information about any additional support that you may have availed of to fully participate in the programme including information about any disability.

How will we use the information about you?

We need your information:

- To determine your eligibility.
- To ensure you receive the allowance you are entitled to.
- To monitor your progress.
- To facilitate DfE's monitoring of contractors (training organizations, colleges, etc.) delivery and pay them for their work.
- To inform future programme changes.
- To contact you about issues directly related to your participation in training (e.g. changes that you need to be aware of or a follow up survey)
- To prevent fraud.

We will use your personal data for these purposes only.

Who will have access to my information or who will you share it with?

Only individuals with a specific need to access your information will be able to access it. These individuals will be within DfE or the training organization, college, etc. that you are enrolling with and will have been made aware of the importance of protecting personal data; will be familiar with their organisation's security policy; and put its security procedures into practice.

There may be occasions where we are required to share your personal data with other third parties however any such sharing will be subject to an assessment of who is requesting the data, the purpose for which it is required, the level and sensitivity of the data requested and the arrangements in place to store and handle the information.

Access to your information and correction

Should you wish to access the information we hold on you, or have information we hold on you corrected, please submit a request using the appropriate contact details provided below.

Changes to this privacy policy

You will be notified if changes are made to this privacy policy.

How to contact us

You can contact us by email at: lisa.mcbride@economy-ni.gov.uk

FORMS FOR USE IN TRAINING FOR SUCCESS 2017

List of Forms for use in Training for Success 2017

TfS 3(i) Contractor Referral for Disability Support Delivery

TfS 3(ii) Disability Support Claim Form/Batch invoice

TfS 7 Work Placement Attendance Record

TfS 7B In-House Attendance Record

TfS 10A Enforced Interruption to Training

TfS 10B Resumption to Training Following Enforced Interruption

TfS 13 Travel Claim Form

TfS 15 Application to Rejoin Training for Success 2017 Programme

TfS 17 Application for Disability Funding

Contractor Referral for Disability Support Delivery TfS 3 (i)

REFERRAL FOR DISABILITY SUPPORT DELIVERY AND APPROVAL

Please use CAPITAL letters and complete the appropriate sections

PART A (To be completed by the Training Contractor)

Name of Training Contractor _____

Training Contractor Address _____

Postcode _____

Enter Disability Support Provider referred to _____

Date Participant Started Training _____ Client ID Number _____

Nature of Disability _____

Reason for Referral for Disability Support Provision

Signed _____

Date

PART B (To be completed by the Disability Support Services provider and copied to Training Contractor)

Has the client been previously referred for Pre-Entry Training Support by Careers Service Advisers? **Yes/No**

On basis of the information supplied by the Training Provider/Careers Service NI and subsequent assessment completed by Disability Support Provider, the above referred client will require the following level of Disability Support, ____ hours/part hours per week to be delivered on an individual. These support services will be delivered from ____/____/____ to ____/____/____.

Brief Description of Disability Support to be delivered. Week

Commencing _____

Signed _____

Date _____

Disability Support Claim Form/Batch invoice TfS 3 (ii)

Training Organisation _____ Disability Support Contractor/Workers _____

Claim Period _____

Trainee Name	Client ID No	Date	Trainee Signature	Disability Support Delivered	No of hours	Delivery Method	Cost per participant
Insert trainee's name	Insert Client Id No	Support delivered		Insert brief description of the nature of support provided		E.g. One to One	
				Total hours claimed @ £ per hour = £			

'I have checked the information contained on this Batch Invoice and I can confirm that it is complete and accurate. I understand that providing wrong or deliberately misleading information is an offence, and such information may be used against me in any subsequent criminal investigation. I also understand that the information provided may be made available to other Departments / Agencies for the purposes of preventing or detecting crime.'

Signed _____ Date _____

Disability Support Organisation _____

Signed _____ Date _____

Training Contractor _____

Training for Success Workplace Attendance Record

Form TfS 7A

Day	Att. Code	Start Time	Lunch	Finish Time	Hours Worked	Comments
Monday						
Tuesday						
Wednesday						
Thursday						
Friday						
Saturday						
Sunday						
Total Hours Worked						

Attendance codes (Codes must be used – ‘ticks’ are not acceptable):

P = Attended **UA** = Unauthorised Absence **H** = Holiday (Annual Leave)
AA = Authorised Absence **S** = Certified Sick **PH** = Bank Holiday **DR** = Off the Job Training

I confirm that the attendance above is correct and I have received EMA

Participant Signature: _____ **Date:** _____

Work Placement Provider Signature: _____ **Date:** _____

Name in full & Position in Company (*Print*): _____

Placement Provider Stamp

FAILURE TO RETURN THESE RECORDS ON TIME WILL RESULT IN DELAYS IN PAYMENT OF ANY ALLOWANCES DUE

Checked By	
Verified By	
Date	

Contractor Name _____ Date w/c / / .

Participant Name	Monday				Tuesday				Wednesday				Thursday				Friday				No Of Hrs
	Att Code	Start Time	Lunch	Finish Time	Att Code	Start Time	Lunch	Finish Time	Att Code	Start Time	Lunch	Finish Time	Att Code	Start Time	Lunch	Finish Time	Att Code	Start Time	Lunch	Finish Time	

Attendance codes (Att Code)

P = Attended **UA** = Unauthorised Absence **DR** = Off the Job Training **AA** = Authorised Absence
S = Certified Sick **H** = Holiday (Annual Leave) **PH** = Bank Holiday **SU** = Suspension

For Office use only

Checked By	
Verified By	
Date	

NB: Use of ticks in place of attendance codes/or start and finish times is not acceptable.

I can confirm that the above attendance information is correct. Contractor Signature: Date: _____



Enforced Interruption to Training Form TfS10A

To: _____ Careers Resource Centre / Jobs and Benefits Office or
JobCentre

Participant Name (Print): _____ D.O.B: ____/____/____

Address: _____

Postcode: _____

(1) The above participant has had an enforced interruption to training due to:

Therefore, training will be suspended with effect from ____/____/____ (date) and is expected to
resume on ____/____/____ (date).

Signed: _____
(Contractor Authorised Signatory)

Date: ____/____/____

Contractor: _____

Resumption following Enforced Interruption Form TfS10B

To: _____ Careers Resource Centre / Jobs and Benefits
Office or JobCentre

Participant Name (Print): _____ Date of
Birth: ____/____/____

Address: _____

Postcode: _____

This Contractor notified you on Form 10A dated ____/____/____ that the above
named

participant was expected to resume training on ____/____/____ following an enforced
interruption due to

He / she resumed training today ____/____/____ (date).

Taking account of the balance of training period due, the revised expected end date
has been calculated as ____/____/____ (date).

Signed: _____ Date: ____/____/____
(Contractor Authorised Signatory)

Contractor: _____ (copy to be retained)

Travel Expenses Claim Form

TfS13

(Only to be submitted to CSB if amount to be claimed is over £50)

Please use CAPITAL letters

To be completed by the Contractor

PART 1

Name of Contractor _____

Contractor Address _____

Post Code _____ Tel No _____

Work Placement Name _____

Work Placement Address _____

Postcode _____

Date participant started training or commenced work placement _____

PART 2

Is this a first claim? YES / NO

Is this a change in circumstances? YES / NO

If a change in circumstances, please state:

Date of change _____ Reason for change _____

PART 3

Participant's name _____ Client ID Number _____

Home Address _____

Postcode _____

Reasons why travel expenses are being claimed _____

Is participant travelling outside of contract management area in which they live for directed training? Yes/No

Does Participant have a registered Disability which has been recorded on TMS?

Yes/No – If Yes please provide details: _____

Participant's Occupational area _____

Please enclose three quotations for the related taxi journey(s)

Please give details of the participant's journey to and from his/her home/training location / work placement and state mode of transport.

	Actual Start Time	Actual Finish Time	Journey Details
Day 1			
Day 2			
Day 3			
Day 4			
Day 5			

If travel is by private transport please confirm total return mileage _____

Weekly amount to be approved £ _____
(i.e. the weekly travel costs incurred is £50 or over per week including participant and standard contribution).

Part 4

I declare that the travel expenses as detailed are correct. I understand that this information may be checked by the Department for the Economy.

Travel expenses payable from _____ (date)
(Please note that approval must be sought before the cost is incurred)

Signed _____ Date _____
(Authorised person within Contractor)

NAME (CAPITAL letters) _____

Position _____

This approval, any related invoices and supporting documentation must be retained by the Contractor for inspection by the Department for the Economy.

For DfE office use	
Examined by	Date
Checked by	Date
Approved by	Date

Application to Rejoin Training for Success 2017 Form TfS15

NOTE: This form must be submitted to the local Careers Resource Centre / Jobs and Benefits Office or JobCentre at the earliest opportunity preceding transfer.

From: (Name of Contractor): _____ **To:** (Careers Resource Centre / Jobs and Benefits Office or JobCentre):

The following persons wish to rejoin *Training for Success 2017*

TO BE COMPLETED BY CONTRACTOR							For Office Use			
Client ID	Surname	First Name	Previous Programme	New Component	New Component Start Date	New SOC	New RORQ	Number of Weeks	Training Weeks to Date	New Participation Number

Contractor Signature _____

For Office Use

Name (CAPITALS) _____

Careers Service Signature _____ (Name)

Date ____/____/____

Date ____/____/____

Following Training Credit Issue - cc: Contractor/Commercial Services Branch and retain copy for Careers Resource Centre / Jobs and Benefits Office or JobCentre

Form TfS 17

Application for Disability Support

***Patient/Client Name:** _____

Home Address: _____

Trainee reference: _____

I understand that [_____] **is/was a *patient/client/student*
in your **practice/care/school*.

[_____] is participating in the Department for the Economy's **Training for Success 2017/ApprenticeshipsNI 2017* programme. Under this programme Disability Support can be provided for those who have a disability to help them benefit fully from the training on offer and to achieve the best possible outcomes.

In order to draw down this support the Department requires evidence of a disability where no previous evidence exists. The Department has advised that it has no record of [_____] having a disability.

However, in my capacity as **his/her* Training Contractor I am of the opinion that this client has a disability and would benefit from support. I am therefore seeking evidence from you to support my assessment.

I have provided a template to facilitate this request which includes a signed parental/guardian consent form and statement of evidence and would greatly appreciate your time in providing any supporting information you feel may be appropriate. Any evidence supplied will be treated confidentially and it will be passed to the Department to facilitate a review of an application for support.

Training Contractor

**Delete as appropriate*

***Health and Social Care Professional**

*** Educational Professional**

PARENTAL/GUARDIAN CONSENT FORM
STATEMENT OF EVIDENCE

Trainee Name: _____

Address: _____

Dob
 dd *mm* *yyyy*

To _____

(insert name of Doctor, Health and Social Care or Educational Professional)

I hereby consent to the provision of evidence to support a request for Disability Support for (_____) who is participating in *Training for Success 2017*.

(Insert Trainee Name)

Signed: _____

Trainee/Parent/Guardian

Date: _____

Contractors must retain a copy of the completed form in the participant hard-copy records.

***Training for Success 2017/ApprenticeshipsNI programme**

STATEMENT OF EVIDENCE

***Patient/Client/Student Name:** _____

Home Address: _____

Trainee reference: _____

This form facilitates the provision of evidence to support a request for disability support.

Please use the boxes provided to answer the following questions.

Does this individual have a disability? Yes ☐ No ☐

If Yes which category does it fall in to?

Hearing ☐

Learning ☐

Mental Health ☐

Physical/Mobility ☐

Visual ☐

Hidden/other (e.g. speech/heart) ☐

Name: _____

Profession _____

Address: _____

Signature: _____

Date: _____

**Delete as appropriate*

Health and Social Care Professional

*** Educational Professional**

